



Approval Authority Meeting
Thursday, October 10, 2013
10:00 a.m.

LOCATION

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

OES Assembly Room

AGENDA

**1. CALL TO ORDER
ROLL CALL**

UASI Chair	Anne Kronenberg, City and County of San Francisco
UASI Vice-Chair	Rich Lucia, County of Alameda
Member	Raymond Guzman, City and County of San Francisco
Member	Renee Domingo, City of Oakland
Member	David Hober, City of San Jose
Member	Ken Kehmna, County of Santa Clara
Member	Mike Casten, County of Contra Costa
Member	Bob Doyle, County of Marin
Member	Sherrie L. Collins, County of Monterey
Member	Carlos Bolanos, County of San Mateo
Member	Christopher Helgren, County of Sonoma
Member	Brendan Murphy, CalOES

General Manager Craig Dziedzic

2. APPROVAL OF THE MINUTES (Discussion, Possible Action)

Discussion and possible action to approve the draft minutes from the September 12, 2013 regular meeting or take any other action related to the matter.

(Document for this item includes draft minutes from September 12, 2013.) 5 mins

3. GENERAL MANAGER'S REPORT

The General Manager will give an update regarding the following:

- a) Management Team Staff Update (Discussion)
- b) Grant Applications Update (Discussion)
- c) Bay Area UASI Legal Services Contract (Discussion, Possible Action)

(Document for this item is a report from Craig Dziedzic.) 10 mins

4. BAY AREA HOMELAND SECURITY STRATEGY (Discussion, Possible Action)

Josh Filler will provide a report on the Bay Area Homeland Security Strategy. Possible action to approve any recommendation(s) or take any other action related to this matter.

(Documents for this item are a report and two appendices from Josh Filler.) 10 mins

- 5. PRIORITY CAPABILITY OBJECTIVES FOR FY14 FUNDING CYCLE** (Discussion, Possible Action)
Catherine Spaulding will provide a report on the priority capability objectives for FY14 funding cycle. Possible action to approve any recommendation(s) or take any other action related to this matter.
(Document for this item is a report from Catherine Spaulding.) 10 mins
- 6. BAY AREA INCIDENT MANAGEMENT TEAMS ASSESSMENT AND FRAMEWORKS** (Discussion)
Bruce Martin will provide a presentation on the Bay Area Incident Management Team Assessment Report.
(Documents for this item are a report and a PowerPoint from Bruce Martin.) 10 mins
- 7. SOUTH BAY COMPUTER AIDED DISPATCH TO COMPUTER AIDED DISPATCH PROJECT UPDATE** (Discussion)
Jeff Blau will provide an update on the South Bay CAD to CAD project.
(Documents for this item are a report and an appendix from Jeff Blau, Bert Hildebrand and Eric Tingom.) 10 mins
- 8. UPDATE ON FY11 UASI GRANT SPENDING** (Discussion)
Tristan Levarado will provide an update on FY11 UASI grant spending.
(Document for this item is a report from Tristan Levarado.) 5 mins
- 9. GRANTS MANUAL** (Discussion, Possible Action)
Catherine Spaulding will provide an update to the grants manual.
(Documents for this item are a report and two appendices from Catherine Spaulding.) 10 mins
- 10. URBAN SHIELD 2013** (Discussion)
Captain Garrett Holmes will provide a presentation on Urban Shield 2013.
(Documents for this item are a report and a PowerPoint from Garrett Holmes.) 10 mins
- 11. REPORT FROM THE BAY AREA REGIONAL INTEROPERABLE COMMUNICATIONS SYSTEM JOINT POWERS AUTHORITY (BayRICS JPA)** (Discussion, Possible Action)
Barry Fraser will provide a report regarding the BayRICS JPA. Possible action to approve the report or take any other action related to this matter.
(Document for this item is a report from Barry Fraser.) 10 mins
- 12. TRACKING TOOL** (Discussion, Possible Action)
Review the tracking tool for accuracy and confirmation of deadlines. Possible action to add or clarify tasks for the Management Team or take other action related to the tracking tool.
(Document for this item is the UASI Approval Authority Tracking Tool.) 5 mins
- 13. ANNOUNCEMENTS-GOOD OF THE ORDER**
- 14. FUTURE AGENDA ITEMS** (Discussion)
The Approval Authority members will discuss agenda items for future meetings.
- 15. GENERAL PUBLIC COMMENT**
Members of the Public may address the Approval Authority for up to three minutes on items within the jurisdiction of the Bay Area UASI Approval Authority.

16. ADJOURNMENT

If any materials related to an item on this agenda have been distributed to the Approval Authority members after distribution of the agenda packet, those materials are available for public inspection at the Bay Area UASI Management Office located at 711 Van Ness Avenue, Suite 420, San Francisco, CA 94102 during normal office hours, 8:00 a.m.- 5:00 p.m.

Public Participation:

It is the policy of the Approval Authority to encourage and permit public participation and comment on matters within the Approval Authority's jurisdiction, as follows.

- *Public Comment on Agenda Items.* The Approval Authority will take public comment on each item on the agenda. The Approval Authority will take public comment on an action item before the Approval Authority takes action on that item. Persons addressing the Approval Authority on an agenda item shall confine their remarks to the particular agenda item. For each agenda item, each member of the public may address the Approval Authority once, for up to three minutes. The Chair may limit the public comment on an agenda item to less than three minutes per speaker, based on the nature of the agenda item, the number of anticipated speakers for that item, and the number and anticipated duration of other agenda items.
- *General Public Comment.* The Approval Authority shall include general public *comment* as an agenda item at each meeting of the Approval Authority. During general public comment, each member of the public may address the Approval Authority on matters within the Approval Authority's jurisdiction. Issues discussed during general public comment must not appear elsewhere on the agenda for that meeting. Each member of the public may address the Approval Authority once during general public comment, for up to three minutes. The Chair may limit the total general public comment to 30 minutes and may limit the time allocated to each speaker depending on the number of speakers during general public comment and the number and anticipated duration of agenda items.
- *Speaker Identification.* Individuals making public comment may be requested, but not required, to identify themselves and whom they represent.
- *Designated Public Comment Area.* Members of the public wishing to address the Approval Authority must speak from the public comment area.
- *Comment, Not Debate.* During public comment, speakers shall address their remarks to the Approval Authority as a whole and not to individual Approval Authority representatives, the General Manager or Management Team members, or the audience. Approval Authority Representatives and other persons are not required to respond to questions from a speaker.

Approval Authority Representatives shall not enter into debate or discussion with speakers during public comment, although Approval Authority Representatives may question speakers to obtain clarification. Approval Authority Representatives may ask the General Manager to investigate an issue raised during public comment and later report to the Approval Authority. The lack of a response by the Approval Authority to public comment does not necessarily constitute agreement with or support of comments made during public comment.

- *Speaker Conduct.* The Approval Authority will not tolerate disruptive conduct by individuals making public comment. Speakers who use profanity or engage in yelling, screaming, or other disruptive behavior will be directed to cease that conduct and may be asked to leave the meeting room.

Disability Access

The UASI Approval Authority will hold its meeting at the Alameda County Sheriff's Office OES located at 4985 Broder Blvd. in Dublin, CA 94568.

In compliance with the Americans with Disabilities Act, those requiring accommodations for this meeting should notify Waimen Chee, at least 24 hours prior to the meeting at (415) 353-5223.



**Bay Area UASI Program
Approval Authority Meeting
Thursday, September 12, 2013
10:00 a.m.**

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

**REGULAR MEETING MINUTES
DRAFT**

1. Roll Call

Chair Kronenberg called the meeting to order at 10:02 am. General Manager Craig Dziedzic took roll. Chair Kronenberg, Vice Chair Lucia, Members Guzman, Godley, Domingo, Collins, Casten, Kehmna, Helgren and Murphy were present. Member Carlos Bolanos was absent, but his alternate Mark Wyss was present. Member Bob Doyle was absent. Renee Domingo arrived at 10:05 am.

2. Approval of the Minutes

Member Godley inquired about the approval of agenda item 5, Cyber, Recovery, and Citizen Preparedness Projects, from the August 8, 2013 minutes. Assistant General Manager Catherine Spaulding informed Member Godley that the minutes will be revised to reflect the approval of the item.

Motion: Approve the minutes with changes amended from the August 8, 2013 Approval Authority meeting.

Moved: Member Godley **Seconded:** Member Collins

Vote: The motion passed unanimously

3. General Manager's Report

(a) Field Monitoring Visits

UASI General Manager, Craig Dziedzic stated that the Grants Management Team has begun its grant-mandated field monitoring visits to UASI grant sub recipients. The Grants Management Team has visited Sonoma, San Rafael, Alameda, and The Twin Cities Police Authority, with 15

more jurisdictions to cover. The team has been sharing best practices with the various departments and agencies they visit. A comprehensive report of the field monitoring visits will be compiled and presented at the January 2014 Approval Authority meeting.

(b) 2013 Threat & Hazard Identification and Risk Assessment Process (THIRA)

Mr. Dziedzic stated that FEMA Region IX conducted a three-day technical assistance workshop regarding the latest development involving the THIRA process, which is part of Presidential Policy Directive: National Preparedness.

In 2012, jurisdictions receiving federal UASI grant funds were required to produce a THIRA by the end of the calendar year. Comprehensive Preparedness Guide (CPG) 201 provided communities with guidance for conducting a THIRA, which included a five-step process: identify the threats and hazards of concern; give threats and hazards context; examine the core capabilities using the threats and hazards; set capability targets; and apply the results.

In 2013, CPG 201, 2nd edition, streamlined the process by combining steps 4 and 5 so that the THIRA process only involves four steps. CPG 201, 2nd edition, expanded the process to include an estimation of resources needed to meet capability targets such as National Incident Management System (NIMS)-typed resources and other standardized resource types as well as a new on-line tool for collecting all information.

As part of the CA Statewide Risk Management program, Digital Sandbox will be drafting the THIRA for all the CA UASIs that received grant funds. The Bay Area UASI will be working with Digital Sandbox to use the Capability Assessment Report and other relevant data to update the region's previous THIRA by the end of December 2013.

(c) Grant Application Update

Mr. Dziedzic reported that on August 16, 2013 the Management Team submitted two grant applications for the National Continuing Training Grant (CTG) program. The first application was for an Intelligence-led Incident Management Program (IIM), which will examine the combined role of emergency management, fusion centers, intelligence nodes, public safety, and the Information Sharing Environment (ISE) in preparation for, mitigating and responding to manmade and natural hazard caused incidents at the local and multi-jurisdictional level.

The other application is a proposed class - Countering Maritime Terrorism: Protecting America's Waterways (CMT) - which is intended to improve multi-jurisdictional response to maritime security risks; strengthen communication efforts within the community to deter/disrupt violent extremists; raise awareness of issues regarding privacy, civil rights, and civil liberties; and provides comprehensive awareness training that includes environmental consequences that may ensue. Both applications are for approximately \$1 million and have a three-year performance period. Notification of the grant awards should be received within the next few weeks.

(d) Capability Assessment Workshop

On August 27, 2013, David Frazer of the Bay Area UASI Management Team hosted a regional capabilities assessment workshop with subject matter and regional experts to assess core

capabilities and levels of readiness to meet identified risks. The workshop was conducted in Dublin, CA. The product of this work is a regional gap analysis report showing areas in need of attention and mitigation. The data will also be used for updating the THIRA.

4. Report from the Advisory Group

NCRIC Director Mike Sena stated that on August 29, 2013 Assistant General Manager Catherine Spaulding presented the draft of the FY14 UASI Project Proposal Guidance. The proposed process is very similar to last year, with the exception of a streamlined role for the work groups. Mr. Sena stated that the Advisory Group also discussed the updated Master MOU and By-laws approved last month by the Approval Authority.

5. FY14 Project Proposal Guidance

Assistant General Manager Catherine Spaulding presented the draft Project Proposal Guidance for the FY 14 UASI funding cycle. The document contains the proposal submission timeline and criteria; roles of the work groups, hubs, and Advisory Group; priority capability objectives; allowable spending guidelines; and the project proposal template. The FY14 proposal process is virtually identical to last year with the exception of the role of the work groups. Work groups will help identify regional gaps and priorities, but the Management Team will not coordinate a formal “vetting” discussion of each proposal at the work group level as was conducted in the FY13 process. Ms. Spaulding stated that the proposals will be due **November 15, 2013**.

- All proposals – including those using core city and sustainment allocations – must be submitted by the November 15th deadline.
- Upon receipt of the proposals, the Management Team will share them with the appropriate Approval Authority members for review. This review will take place before proposals are distributed to the hubs for prioritization in January 2014.
- UASI jurisdictions that wish to undertake internal vetting processes should do so before the November 15th deadline.
- The Management Team will host a live meeting and webinar on October 3rd in Dublin to review the project proposal template, grant requirements, and proposal selection criteria and process.

The priority capability objectives in the current draft of the FY14 Project Proposal Guidance are from the FY13 cycle and are based on the 2012 Bay Area Homeland Security Strategy. The updated objectives for FY14 cycle will be presented to the Approval Authority on October 10, 2013 along with the updated 2013 Bay Area Homeland Security Strategy for approval. In order to be eligible for FY14 funding, all proposed projects must fulfill at least one of the priority capability objectives.

Member Domingo complimented the Management Team on the streamlined Project Proposal Guidance.

Motion: Approve the FY14 Project Proposal Guidance

Moved: Member Domingo **Seconded:** Vice Chair Lucia

Vote: The motion passed unanimously

6. CA Statewide Risk Management Program

Kevin Jensen, CA Statewide Risk Manager, presented a PowerPoint on the history of California's Risk Management Program and the newest program DAISE (Data Analysis, Information Sharing Enterprise). DAISE promotes the sharing of analytical findings, intelligence and provides results through a statewide dashboard, which will be used to share infrastructure incidents, events, intelligence, and threat information to users across the state.

7. UASI Investments and the Asiana Response

Rob Dudgeon, Director of Emergency Services for the City and County of San Francisco, briefly spoke about the usage of equipment purchased with UASI funds at the Asiana response and stated that there were many lessons learned. The main lesson learned is that UASI-provided training enabled responders to meet their colleagues ahead of time and this allowed for a more organized response during an actual event.

8. FY 10 – FY 11 Regional Catastrophic Preparedness Grant Program

Tristan Levarado, Chief Financial Officer, stated that significant progress has been made on the RCPGP match since February. The Management Team has gathered \$1.37M in matching funds for the FY10 grant, which exceeds the match requirements of \$1.2M for this grant year. The excess, in the amount of \$171K, is being shifted to meet the FY11 grant match requirements.

The performance period for the FY10 RCPGP is coming to an end and the Grants Team must submit their closeout report to Cal OES in the next few weeks. The Grants Team is currently reviewing the final claims from Oakland and Marin, and expects to receive the last training invoices from Alameda. The URS contract has also ended the logistics and lifeline portions that are funded by RCPGP funds. Set to expire in March 2014, FY11 RCPGP grant spending has reached \$209K, equal to 16% of the budget. Tabletop exercises have been completed by URS and they are gearing up for the full scale exercise, which will be part of Urban Shield.

9. Update on Budget Reallocations under \$250,000

Tristan Levarado, Chief Financial Officer, stated that these items represent reallocation of core city funds for the three major cities. Only two items came from non-core city funds. Mr. Levarado also stated that the \$67K in FY12 UASI savings from the Training and Exercise program was moved to augment Alameda's tactical vehicle project.

10. Report from the Bay Area Regional Interoperable Communications System Joint Powers Authority (BayRICS JPA)

Barry Fraser, General Manager of the BayRICS JPA, reported that the BayRICS JPA Board of Directors did not hold a meeting in August and the next meeting is scheduled for September 12 at 1:30PM. Mr. Fraser reported that BayRICS has not yet executed a spectrum lease with FirstNet. At its August 13 meeting, the FirstNet Board extended the current deadline to complete lease negotiations with BayRICS to September 30, 2013.

Mr. Fraser also gave an update and overview of the following:

- The staff attended the following meetings:
 - Northern California Chapter of the Alliance of Public-Safety Communications Officials (NAPCO)
 - Alliance of Public-Safety Communications Officials (APCO) Annual Conference
- PureWave Networks
- California First Responder Network (CalFRN)
- First Responder Network Authority (FirstNet)
- Spectrum Lease Negotiations
- FirstNet Meetings and Activities

11. Tracking Tool

Chair Kronenberg asked the Board for any questions or comments. There were no questions or comments.

12. Announcements-Good of the Order

Member Godley announced his retirement and indicated that this would be his last Approval Authority meeting. He stated that Dave Hober would replace him as a member of the Board.

Vice-Chair Lucia stated that Urban Shield Exercise will kick off on October 25, 2013 at the Alameda County Sheriff's Regional Training Center. The awards banquet will be held on Monday, October 28, 2013 in Oakland at the Marriott Hotel.

13. Future Agenda Items

Chair Kronenberg asked the Board for questions or comments. There were no questions or comments.

14. General Public Comment

Mike Sena stated that NCRIC will be hosting a Building Communities of Trust meeting at Facebook in Menlo Park on September 19, 2013 from 5:30 p.m. – 9:00 p.m. Please sign up at www.ncric.org

The meeting adjourned at 11:12 a.m.



To: Bay Area UASI Approval Authority

From: Craig Dziedzic, General Manager

Date: October 10, 2013

RE: Item #3: General Manager's Report

Staff Recommendations:

- (a) Management Team Staff Update (Discussion Only)
- (b) UASI FY 2014 Project Proposal Update. (Discussion Only)
- (c) Staff recommends the cancellation of the legal services contract (Discussion and Possible Action).

Action or Discussion Items:

- (a) Management Team Staff Update (Discussion Only)
- (b) Grant Applications Update (Discussion Only)
- (c) Bay Area UASI Legal Services Contract (Discussion and Possible Action)

Discussion/Description:

- (a) Management Team Staff Update (Discussion Only)

Public Health Project Manager Position

Lani Kent, our public health project manager, will be leaving the UASI Management Team. She has accepted a job offer with the San Francisco Mayor's Office as Sr Advisor to the Mayor for Health. Her last day will be October 11, 2013.

The Management Team will be working with the San Francisco HR Department to begin the recruitment process to fill the position. Catherine Spaulding and Janell Myhre will be the POCs for the recruitment process. Since the position will manages a number of projects within the citizens preparedness portfolio, we have renamed it as the Resiliency and Recovery Project Manager position, which will be responsible for developing and

implementing regional program and project planning with a focus on citizen preparedness, emergency planning, resiliency, recovery, and health and medical preparedness.

Statewide Risk Management Position

Captain Kevin Jensen of the Santa Clara County Sherriff's Office has announced his retirement from the Sheriff's Office. Since 2012, Captain Jensen has managed the CA Statewide Risk Management program, working with the CA Coalition of UASIs (CCU) and Digital Sandbox to ensure that each CA UASI has access and technical assistance to the various modules offered under the master contract with Digital Sandbox. Captain Jensen was also managing best practices for the CCU. Prior to managing the CA Statewide Risk Management program, Captain Jensen was assigned to the Bay Area UASI Management Team as the project manager for the Bay Area regional risk management projects.

The CCU will discuss this position at their next meeting scheduled October 31, 2013.

(b) Grant Applications Update (Discussion Only)

On September 27, 2013, FEMA notified the Management Team that our two applications submitted for the FY 2013 Homeland Security National Training Program (HSNTP) Continuing Training Grants (CTG) had been turned down. The reason stated was the competitive process selected other applicants. We are following-up with FEMA to obtain information of the selected applications and to seek advice as to how we can improve such applications for future consideration.

(c) Bay Area UASI Legal Services Contract (Discussion and Possible Action).

The legal services contract with Myers & Nave will expire on December 31, 2013. In order to comply with the procurement requirements of the City and County of San Francisco, the Management Team will need to seek an additional extension in order to continue these services.

As background information, the original legal service contract was for \$47,500 with a one year term (12/1/11-12/31/12). We have already extended the term an additional year through 12/31/13. So far, we have paid invoices through August 2013 in the amount of \$34,085.24. The average monthly billing amounts to \$1,623.

The Management Team recommends that we allow this contract to conclude without an additional extension.



Bay Area UASI Homeland Security Strategy Briefing

Alameda, California

October 10, 2013

FILLER **S**ECURITY **S**TRATEGIES, INC.

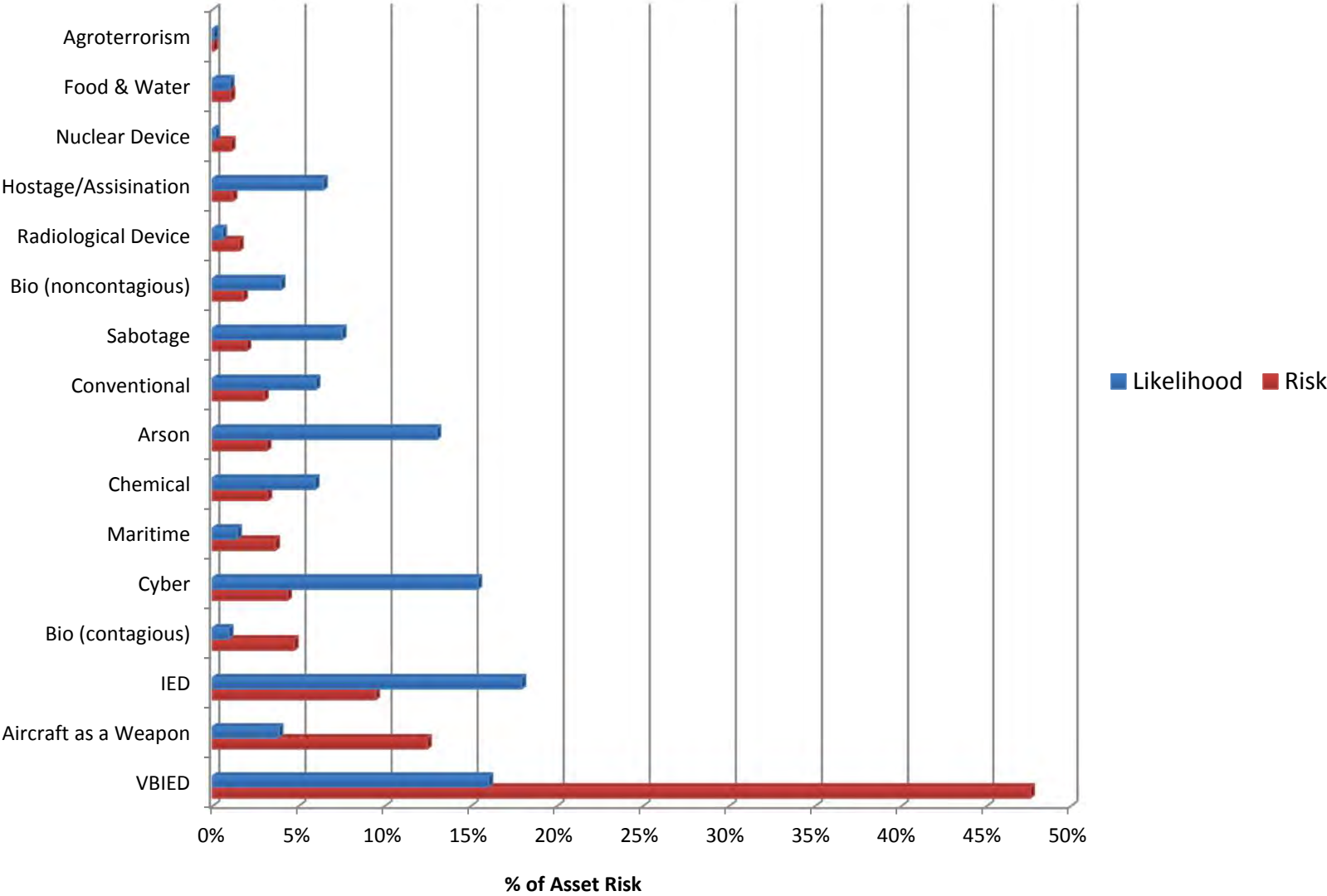
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Major Strategy Changes in 2013

- Updated Regional Risk Profile - added 4,500 assets (now approximately 13,000 in the risk analysis center).
- Developed Bay Area Compendium of Core Capabilities with locally tailored preparedness measures and metrics for all 31 Core Capabilities.
 - Conducted OA/Major City level assessments and one regional assessment.
- Developed a new Cyber Security Objective - 2.4.

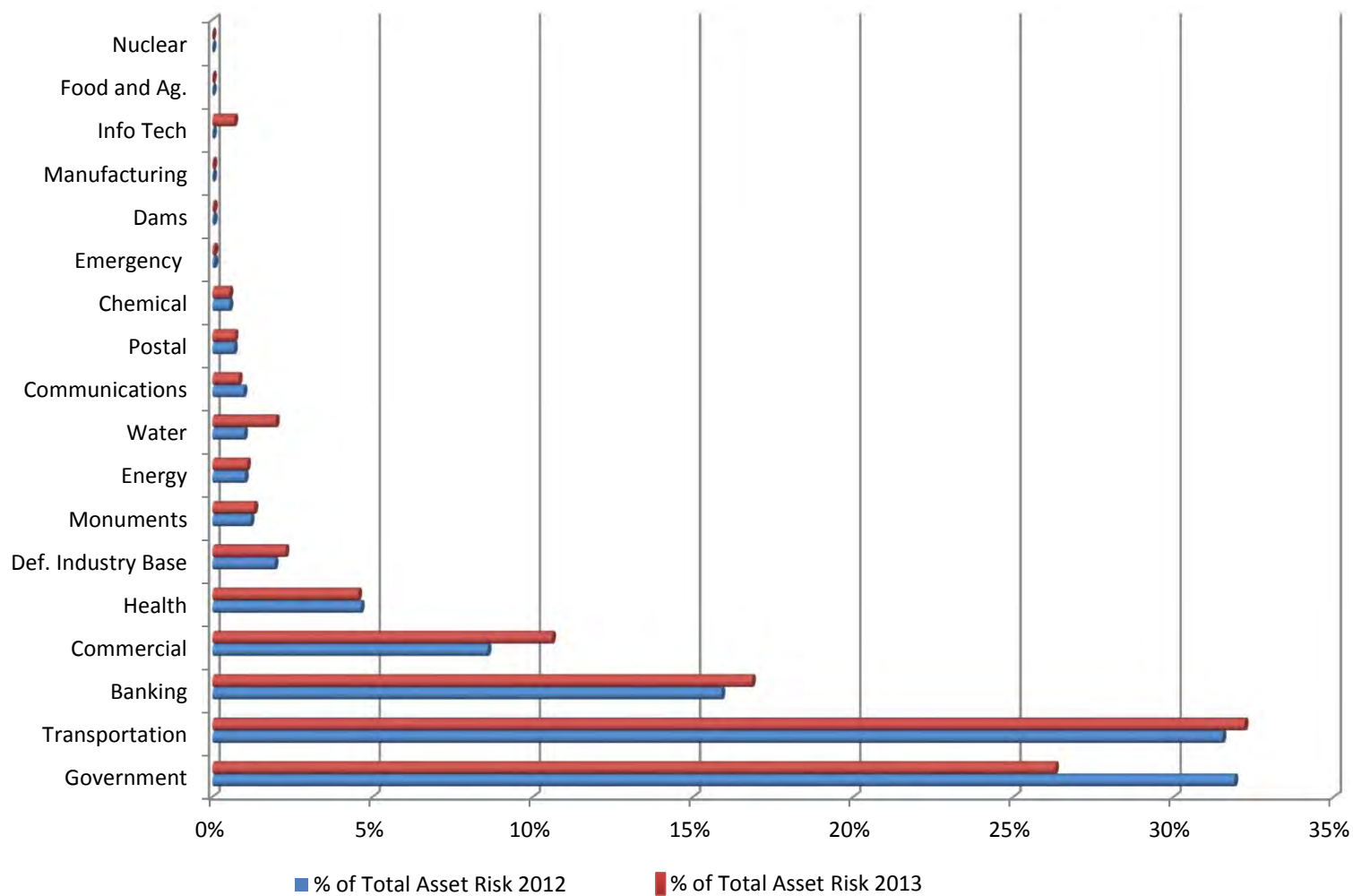
Terrorism Risk Assessment Findings by Scenario

Risk versus Likelihood



Terrorism Asset Risk by Sector

2012 versus 2013

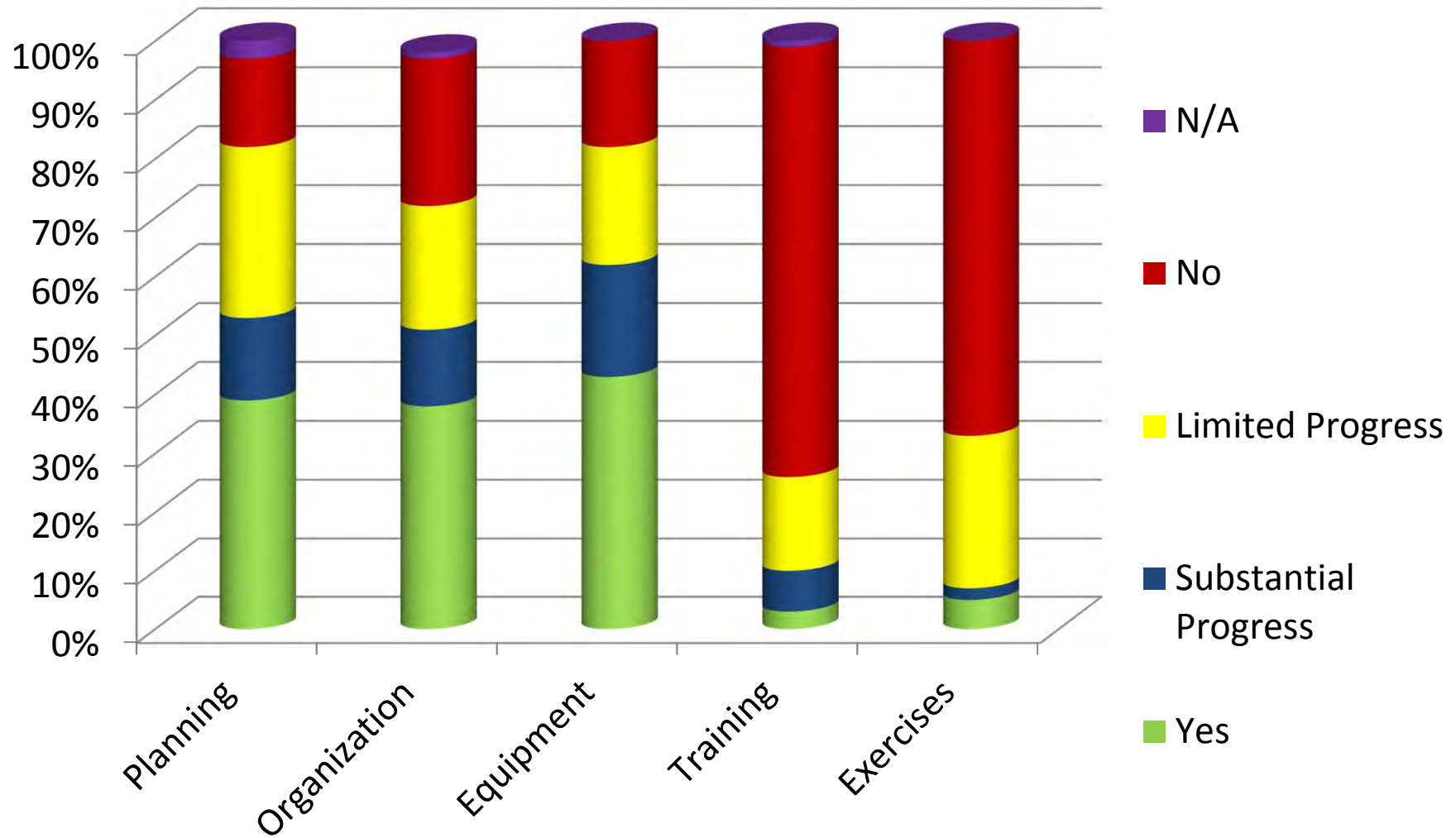


2013 Risk and Capabilities

Risk and Gap	Core Capability	Risk Relevance	Level of Ability	Gap Analysis
1	Infrastructure Systems	3	25%	Needs Extra Attention
2	Long Term Vulnerability Reduction	6	31%	Needs Attention
3	Physical Protective Measures	7	39%	Needs Attention
4	Public Information and Warning	9	26%	Needs Attention
5	Operational Communications	16	34%	Needs Attention
6	Community Resilience	1	69%	Needs Attention
7	Intelligence and Information Sharing	4	55%	Needs Attention
8	Planning	8	58%	Needs Attention
9	Situational Assessment	12	57%	Needs Attention
10	Screening, Search and Detection	14	68%	Needs Attention
11	Forensics and Attribution	2	79%	Sustain
12	Interdiction and Disruption	5	70%	Sustain
13	Risk and Disaster Resilience Assessment	10	90%	Sustain
14	Risk Management for Protection Programs	11	82%	Sustain
15	Threats and Hazard Identification	13	84%	Sustain
16	Operational Coordination	15	80%	Sustain
17	Access Control and Identity Verification	18	34%	Needs Attention
18	Critical Transportation	21	27%	Needs Attention
19	Cyber Security	20	33%	Needs Attention
20	Natural and Cultural Resources	28	30%	Sustain
21	Public Health and Medical	19	67%	Sustain
22	Fatality Management	21	61%	Sustain
23	Mass Search and Rescue	23	69%	Sustain
24	On-Scene Security and Protection	18	85%	Sustain
25	Supply Chain Integrity	26	25%	Sustain
26	Health and Social Services	25	34%	Needs Attention
27	Mass Care	29	42%	Sustain
28	Housing	31	38%	Sustain
29	Environmental Response/Health and Safety	24	82%	Sustain
30	Economic Recovery	27	38%	Sustain
31	Public and Private Services and Resources	20	40%	Sustain

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Cyber Security Assessment Findings



Cyber Security Strategic Approach

- Use assessment findings to drive strategic objective and implementation steps.
- Recognize the interrelationship between the physical world and the cyber world.
 - Cyber security and preparedness are not just an IT issue.
 - Often the gateway to the cyber world starts in the physical world.
 - Scams against untrained employees.
 - Unsecure physical locations with portals into critical cyber networks.

2013 Cyber Security Objective

- Getting **organized** – developing cyber focus group and integrate the private sector.
 - NCRIC taking the lead with cyber analytical program
- Develop **plans** – conduct cyber vulnerability assessments on certain networks, and develop basic cyber protocols followed by incident response and continuity plans.
- Conduct **training**. Training will include basic awareness training for all employees up to specialized training for IT professionals and law enforcement.

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AGENDA ITEM # 4

APPENDIX A

BAY AREA HOMELAND
SECURITY STRATEGY

SUMMARY

2012 - 2015

The Bay Area Homeland Security Strategy Summary 2012 - 2015



October 2013

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BAY AREA HOMELAND SECURITY STRATEGY SUMMARY

Background

Homeland Security is the coordinated effort to ensure the entire Bay Area region is prepared to prevent, protect against, mitigate, respond to and recover from threats and acts of terrorism and other man-made or natural catastrophes. It requires a risk management process in order to ensure the region has the right capabilities in place to manage those hazards that pose the greatest risk to the Bay Area, its people, and its critical infrastructure and key resources. The threat of catastrophic events, both natural and man-made, requires continuous attention and strategic commitment from all levels of government, the private sector and the general public. The Bay Area is committed to this effort.

The Urban Areas Security Initiative (UASI) program provides financial assistance to address the unique multi-discipline planning, organization, equipment, training, and exercise needs of high-threat, high-density urban areas, and assists those urban areas with supplemental funding to build and sustain capabilities to prevent, protect against, mitigate, respond to, and recover from threats or acts of terrorism and other major hazards. Working together, the entire Bay Area UASI has strived to integrate preparedness activities, especially preparedness planning at the strategic level. This homeland security strategy represents the latest effort in that regard.

Purpose

The purpose of the *Bay Area Homeland Security Strategy* (“*Bay Area Strategy*” or “*Strategy*”) is to ensure the Bay Area region has a comprehensive document and system that outlines the region’s risks, capabilities, vision, structure, goals and objectives for homeland security. Having such a *Strategy* will ensure the Bay Area is in the best possible position to clearly track and articulate its risk and capability needs to local leaders, the State of California and the U.S. Department of Homeland Security (DHS) when seeking resources and funding to enhance homeland security and public safety across the region.

The *Strategy* is designed primarily to address terrorism risk faced by the Bay Area with an understanding that capabilities enhanced to combat terrorism often enhance the ability to also manage natural disasters, such as earthquakes, and man-made accidents, such as hazardous materials spills. The *Strategy* outlines a comprehensive system for enhancing regional capability and capacity that will guide the Bay Area’s efforts to:

- Prevent and disrupt terrorist attacks
- Protect the people of the Bay Area, its critical infrastructure and key resource
- Mitigate the damage caused by acts of terrorism, natural disasters and man-made accidents
- Respond to and recover from major incidents that do occur
- Continue to strengthen our preparedness foundation to ensure our long-term success
- Guide future investments, increase capabilities and reduce risk

2012-2015 BAY AREA HOMELAND SECURITY STRATEGY SUMMARY

Finally, the *Strategy* does not alter the statutory or regulatory authority or responsibility of any agency in the Bay Area related to public safety, health, and security. Nor does the *Strategy* impose any affirmative duty for any jurisdiction or entity to take any action or inaction concerning public health, safety, or security. Rather, the *Strategy* is designed as an integration tool and guide to better coordinate and focus those often disparate authorities and resources spread across the region necessary to achieve homeland security.

Vision

The Bay Area's vision for homeland security is a secure, prepared and resilient region consistently developing regional capabilities based on an analysis of risk through collaboration and coordination.

Bay Area Description

The current Bay Area UASI region is comprised of twelve counties (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Santa Cruz, Solano, Sonoma, Monterey and San Benito) and the three major cities of Oakland, San Francisco, and San Jose.¹ In 2005, prior to the DHS led consolidation, this group initiated regional planning and collaboration efforts by developing the Regional Emergency Coordination Plan (RECP).

The Bay Area UASI is inclusive of over 100 incorporated cities and a combined total population exceeding 7.5 million people. In addition to the 7.5 million residents, the Bay Area attracts 15.9 million visitors annually who spend more than \$16.6 million per day in the region. The Bay Area is one of the most culturally diverse areas in California.

Urban Area Structure

The Bay Area UASI is managed through a three-tiered governance structure. The top tier is the eleven-member Approval Authority that includes representation from each of the three major cities of Oakland, San Francisco, and San Jose and the County of Alameda, County of Contra Costa, County of Marin, County of Monterey, County of San Francisco, County of San Mateo, County of Santa Clara and County of Sonoma. An appointee from the Secretary of the California Emergency Management Agency is also a non-voting member. The Approval Authority provides policy direction to the program and is responsible for final decisions.

The eleven-member Approval Authority works collaboratively with an Advisory Group which acts as the second tier of the governance structure. Advisory Group members include one representative each from the twelve Bay Area county operational areas, the three major cities, the regional NCRIC and an appointee from the Director of the Governor's Office of Emergency Services. The Advisory Group makes policy and programmatic recommendations to the

¹The California Emergency Management Agency (CalEMA) divides the state's 58 counties into 3 administrative regions: Coastal, Inland, and Southern. The Bay Area UASI is part of the Coastal Region which includes: law, fire, coroners/medical examiners, emergency medical, and search and rescue mutual aid systems.

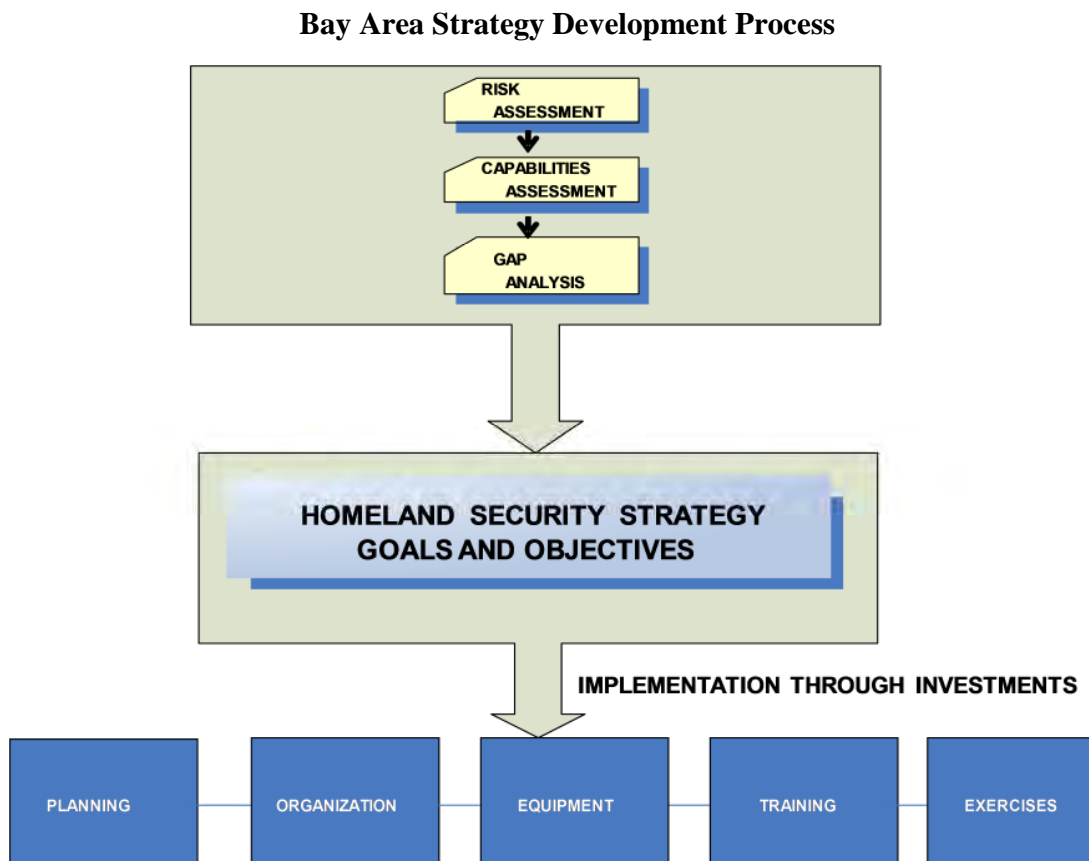
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Approval Authority and ensures there is broad representation, input and participation in the regional planning process.

Managing the day-to-day work of the Bay Area UASI is a Management Team comprised of a general manager, an assistant general manager, project managers, a chief financial officer, and finance and grants staff. The City and County of San Francisco has been designated as the fiscal agent for the grants managed by the Bay Area UASI.

Strategy Development Process

Through a series of meetings and other planning activities within the region, the *Strategy* and its goals and objectives as well as various ideas and recommendations were developed. The planning process used to develop the *Strategy* is outlined below. This process included a regional risk assessment, a capabilities assessment, and a gap analysis. From that data, strategic goals and objectives were updated along with implementation steps. The implementation steps involve a series of resource elements divided among the elements of capability: plans, organization, equipment, training and exercises (POETE) needed to achieve the objective as outlined in the figure below.



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In 2008, the Bay Area UASI produced five major planning guidance documents: an assessment and strategic plan for regional interoperable communications; an assessment and project plan for community preparedness; a gap analysis and multi-year training and exercise program for EMS, the fire service and law enforcement; a training and exercise mandate for search and rescue; and a chemical, biological, radiological, nuclear, and/or explosive (CBRNE) assessment and strategic plan. In 2011 the region produced several region-wide response and recovery plans focusing on catastrophic disaster management. This was followed by a regional assessment and strategic plan for public information and warning. The plans from 2011 and 2012 cover:

- Mass Care and Sheltering
- Interim Housing
- Mass Fatality Management
- Donations Management
- Debris Removal
- Mass Transportation
- Volunteer Management
- Emergency Public Information and Warning

All of these plans and strategies have been reviewed and relevant key elements have been integrated into this overall regional *Bay Area Homeland Security Strategy*.

State and National Goals

The *Strategy* is built on the premise that achieving homeland security is an ongoing mission and one that must be a shared responsibility across the entire region, state and nation. This includes our local, tribal, state, and federal agencies, international partners, community organizations, businesses and individuals. Therefore, the *Strategy* supports implementation of the State of California Homeland Security Strategy and the National Security Strategy. Indeed, this *Strategy* serves as the Bay Area's focal point for implementing not only local and regional homeland security policy and priorities, but also national and state homeland security policy at the local and regional level.

The *Strategy* is also linked directly to the federally required Threat Hazard Identification and Risk Assessment (THIRA). The THIRA uses the region's risk and capabilities data described below to set regional capability targets that the region should strive towards based on terrorism, natural hazard and technological hazard scenarios that pose a significant risk to the region as a whole. These regional targets then help inform the goals, objectives and implementation steps in the *Strategy*.

Bay Area Risk Overview

Mitigating risk plays a vital role in the region's homeland security efforts. Risk is the expected negative impact of an adverse incident (whether the result of terrorism or a natural hazard) on an asset, considering both its likelihood and the magnitude of its impact. Risk can be expressed as a number or value in order to make comparisons. The Bay Area calculates risk as a function of threat, vulnerability, and consequence: **Risk = Threat x Vulnerability x Consequence**. The Bay

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Area's risk environment is a complex one involving terrorism, crime, natural hazards and industrial and other accidents concerning its people, and critical infrastructure and key resources (CIKR).

In addition to its large population, there are approximately 13,000 CIKR assets in the entire Bay Area that cover all 18 *National Infrastructure Protection Plan (NIPP)* sectors. These assets include:

The terrorism scenarios and natural hazards that pose the greatest risk to the Bay Area's CIKR are listed below in rank order:

Rank	Terrorism Scenarios	Natural Hazards
1	Vehicle Borne Improvised Explosive Device	Flood
2	Aircraft as a Weapon	Earthquake
3	Improvised Explosive Device	Wildfire
4	Biological Attack (Contagious)	Ice
5	Cyber Attack	Wind

From a terrorism perspective, the Bay Area's CIKR is particularly at risk from vehicle borne improvised explosive devices (VBIED), e.g., car or truck bombings against critical infrastructure. The relatively high likelihood of a VBIED attack in the Bay Area is driven by the ease and low expense of carrying out such an attack. Such a method of attack is common around the world. When combined with a conventional IED attack, over 50% of the calculated risk to the region's CIKR comes from terrorists' use of explosives. In addition to IEDs, general aviation aircraft as a weapon poses a risk given the number of general aviation airports in the region and the lower security standards imposed on general aviation as compared to commercial aviation.

The Bay Area also faces risk from natural hazards, especially floods, earthquakes and wildfires. The region rests upon one of the longest and most active earthquake fault systems in the world. This system includes the San Andreas Fault, the Hayward Fault and the Calaveras Fault. The U.S. Geological Survey estimates an 80% chance of a magnitude 6.7 or greater quake striking the Bay Area within the next 30 years. Based on the Bay Area's topography, risk from wild land fires as well as tsunamis are also of major concern.

A breakdown of the top ten CIKR sectors in the Bay Area based on the number of assets and risk to each sector (both from terrorism and natural hazards) is set forth in the table below.

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Bay Area Sector Rankings

Rank	Sectors Ranked by Total Assets	Sectors Ranked by Terrorism Risk	Sectors Ranked by Natural Hazards Risk
1	Government	Transportation	Government
2	Commercial	Government	Water
3	Emergency Services	Banking	Commercial
4	Transportation	Commercial	Transportation
5	Postal	Health	Health
6	Dams	Defense Industrial Base	Energy
7	Water	Water	Emergency Services
8	Health	Monuments and Icons	Chemical
9	Banking	Energy	Communications
10	Energy	Communications	Banking

The NCRIC has further refined all of the region’s assets into four priority levels (Level I being the highest and Level IV being the lowest priority) with the vast majority of the assets (over 8,100) falling within priority Level IV. Just 2% of all NCRIC identified assets fall into Level I. Such a breakdown reflects the region’s goal of accounting for as many assets as possible while recognizing that a smaller subset of those assets, if attacked or otherwise incapacitated, could have a devastating impact on the region.

Capabilities Assessment

Upon updating its risk profile, the Bay Area identified those Core Capabilities that were most needed to address the highest-risk acts of terrorism faced by the region i.e., how vital each capability is to preventing, protecting against, mitigating, responding to and recovering from acts of terrorism that pose a risk to the region. While the assessment was driven by terrorism risk, most, if not all of the capabilities involved in the assessment can be used to address natural hazards as well. This “dual use” concept is one the Bay Area has used for years and will continue to use to help drive investments and strategic planning across the region.

In 2013, the region developed the first in the nation Compendium of Core Capabilities. The Bay Area Compendium of Core capabilities outlines Core Capability targets for Operational Areas and major cities in the region along with detailed measures and metrics to evaluate a jurisdiction’s preparedness level in each Core Capability. Each capability target in the Compendium represents a portion or fraction of the capability targets and outcomes from the THIRA.

The compendium was used by each operational area and major city along with a regional assessment involving all jurisdictions. For the assessments, capability levels were organized into five areas or answers that determined level of ability per measure and metric in each Core Capability: Yes/Complete Success, Substantial Progress, Limited Progress, No Progress and Not Applicable.

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Upon completing the capabilities assessments, the Core Capabilities were then plotted by terrorism risk relevance and capability gap depending on each capabilities risk relevance and the size of the gap in the capability. The Core Capabilities with the largest capability gap and highest risk relevance were ranked highest. The full findings from the 2012 Core Capabilities assessment, including current levels of ability and capability gaps, for the Bay Area are set forth in the table below.

2013 Core Capability Assessment Findings

Risk and Gap	Core Capability	Risk Relevance	Level of Ability	Gap Analysis
1	Infrastructure Systems	3	25%	Needs Extra Attention
2	Long Term Vulnerability Reduction	6	31%	Needs Attention
3	Physical Protective Measures	7	39%	Needs Attention
4	Public Information and Warning	9	26%	Needs Attention
5	Operational Communications	16	34%	Needs Attention
6	Community Resilience	1	69%	Needs Attention
7	Intelligence and Information Sharing	4	55%	Needs Attention
8	Planning	8	58%	Needs Attention
9	Situational Assessment	12	57%	Needs Attention
10	Screening, Search and Detection	14	68%	Needs Attention
11	Forensics and Attribution	2	79%	Sustain
12	Interdiction and Disruption	5	70%	Sustain
13	Risk and Disaster Resilience Assessment	10	90%	Sustain
14	Risk Management for Protection Programs	11	82%	Sustain
15	Threats and Hazard Identification	13	84%	Sustain
16	Operational Coordination	15	80%	Sustain
17	Access Control and Identity Verification	18	34%	Needs Attention
18	Critical Transportation	21	27%	Needs Attention
19	Cyber Security	20	33%	Needs Attention
20	Natural and Cultural Resources	28	30%	Sustain
21	Public Health and Medical	19	67%	Sustain
22	Fatality Management	21	61%	Sustain
23	Mass Search and Rescue	23	69%	Sustain
24	On-Scene Security and Protection	18	85%	Sustain
25	Supply Chain Integrity	26	25%	Sustain
26	Health and Social Services	25	34%	Needs Attention
27	Mass Care	29	42%	Sustain
28	Housing	31	38%	Sustain
29	Environmental Response/Health and Safety	24	82%	Sustain
30	Economic Recovery	27	38%	Sustain
31	Public and Private Services and Resources	30	49%	Sustain

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Summary of Goals and Objectives

After completing the risk and capabilities assessments, the region used the information to update the goals, objectives and implementation steps in the *Strategy*. Each of the *Strategy's* goals seeks to align whenever possible with either a National or State Homeland Security Priority. The eight DHS National Homeland Security Priorities represent broad and thematic goals that the nation should strive to achieve. They include Strengthen Information Sharing and Collaboration Capabilities, Strengthen Interoperable and Operable Communications Capabilities, etc. Each objective aligns with a capability or set of capabilities from the Core Capabilities², and the Centers for Disease Control and Prevention's (CDC's) Public Health Preparedness Capabilities for medical and health related objectives. Each objective describes the desired capability end state the region will strive to achieve.

The purpose of aligning each objective to a capability is to ensure the *Strategy* drives investments centered on enhancing specifically defined capabilities needed to better secure and protect the Bay Area from those acts of terrorism and other major hazards that pose the greatest risk to the region. In the end, the Bay Area's ability to prevent acts of terrorism or respond effectively to major natural disasters, such as a catastrophic earthquake, will be determined by the region having sufficient capabilities in place to deal with incidents caused by those threats and hazards. The *Strategy's* goals, objectives and implementation steps outline in detail what the Bay Area needs to do to make sure it achieves and sustains those capabilities.

The goals and objectives are directed towards the next three years and may be reviewed and updated annually or as needed. It is likely that some of the objectives will carry over from year to year while others may be removed or updated based on the region's progress and actual needs. The goals and objectives will continue to be defined by risk analysis, identified preparedness gaps and sustainment priorities. A summary of the Bay Area's 8 goals and 31 objectives is set forth below.

² In certain cases an objective may reference both a Core Capability and a Target Capability, e.g., Objective 4.1 Improve Public and Private Services and Resources Management through *Fire Incident Response Support*. (Target Capability is in italics). This is due to the fact that certain Core Capabilities are ambiguous in their terms and require added definition, which the Target Capabilities provide, and/or the Core Capabilities are inclusive of multiple capabilities that were formally divided among the Target Capabilities List and that division is still necessary for planning purposes in the Bay Area, e.g., Objective 6.7 Improve Public and Private Services and Resources Management through *Critical Resource Logistics*. This breaking up of certain Core Capabilities along the Target Capability taxonomy reflects the reality of how the Bay Area plans and invests in these Core Capabilities.

Goal 1 Strengthen the Regional Risk Management and Planning Program

Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities: The Bay Area is able to identify and assess the threats and hazards that pose the greatest risk to the whole community. The region can prioritize and select appropriate capability-based planning investments and solutions for prevention, protection, mitigation, response, and recovery concerning those risks; monitor the outcomes of allocation decisions; and undertake corrective and sustainment actions.

Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities

Objective 2.1 Enhance Intelligence Collection, Analysis and Sharing: The Bay Area has systems and procedures to effectively collect, analyze and timely share information and intelligence across federal, state, local, tribal, territorial, regional, and private sector entities to achieve coordinated awareness of, prevention of, protection against, mitigation of, and response to a threatened or actual terrorist attack, major disaster, or other emergency. This involves sustaining and building upon the region's intelligence fusion center to include the ability to identify and systematically report suspicious activities associated with potential terrorist or criminal pre-operational planning and logistics.

Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities: The Bay Area's law enforcement community (federal, state and local) and other public safety agencies can conduct forensic analysis and attribute terrorist threats and acts to help ensure that suspects involved in terrorist and criminal activities related to homeland security are successfully identified, deterred, detected, disrupted, investigated, and apprehended.

Objective 2.3 Increase Critical Infrastructure Protection: The Bay Area can assess the risk to the region's physical and cyber critical infrastructure and key resources from acts of terrorism, crime, and natural hazards and deploy a suite of actions to enhance protection and reduce the risk to the region's critical infrastructure and key resources from all hazards. This includes a risk-assessment process and tools for identifying, assessing, cataloging, and prioritizing physical and cyber assets from across the region.

Objective 2.4 Enhance Cyber Security: Cyber security programs at the County and major city level meet the Federal Information Processing Standards 200 - Minimum Security Requirements for Federal Information and Information Systems. The region and its jurisdictions can detect malicious cyber activity, conduct technical counter-measures against existing and emerging cyber-based threats, and quickly recover from cyber-attacks in order to ensure the security, reliability, integrity, and availability of its electronic systems and services.

Goal 3 Strengthen Communications Capabilities

Objective 3.1 Enhance Operational Communications Capabilities: The emergency response community in the Bay Area has the ability to provide a continuous flow of mission critical voice, data and imagery/video information among multi-jurisdictional and multidisciplinary emergency responders, command posts, agencies, and Bay Area governmental officials for the duration of an emergency response operation. The Bay Area can

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also re-establish sufficient communications infrastructure within the affected areas of an incident, whatever the cause, to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery.

Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities

Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support: Fire service agencies across the Bay Area can dispatch initial fire suppression resources within jurisdictional response time objectives, and firefighting activities are conducted safely with fire hazards contained, controlled, extinguished, and investigated, with the incident managed in accordance with local and state response plans and procedures.

Objective 4.2 Strengthen Mass Search and Rescue Capabilities: Public safety personnel in the Bay Area are able to conduct search and rescue operations to locate and rescue persons in distress and initiate community-based search and rescue support-operations across a geographically dispersed area. The region is able to synchronize the deployment of local, regional, national, and international teams to support search and rescue efforts and transition to recovery.

Objective 4.3 Enhance Screening Search and Detection Capabilities: The Bay Area has systems and procedures to rapidly detect, locate and identify CBRNE materials at ports of entry, critical infrastructure locations, public events, and incidents, and can communicate CBRNE detection, identification and warning information to appropriate entities and authorities across the state and at the federal level.

Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations: Public safety bomb squads in the Bay Area are able to conduct threat assessments; render safe explosives and/or hazardous devices; and clear an area of explosive hazards in a safe, timely, and effective manner. This involves the following steps in priority order: ensure public safety; safeguard the officers on the scene (including the bomb technician); collect and preserve evidence; protect and preserve public and private property; and restore public services.

Objective 4.5 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities: Responders in the Bay Area are able to conduct health and safety hazard assessments and disseminate guidance and resources, including deploying HazMat response and decontamination teams, to support immediate environmental health and safety operations in the affected area(s) following a WMD or HazMat incident. Responders are also able to assess, monitor, clean up, and provide resources necessary to transition from immediate response to sustained response and short-term recovery.

Objective 4.6 Improve Environmental Response/Health and Safety through Responder Safety and Health: The Bay Area can reduce the risk of illnesses or injury to first responders, first receivers, medical facility staff members, or other skilled support personnel as a result of preventable exposure to secondary trauma, chemical/radiological release, infectious disease, or physical/emotional stress after the initial incident or during decontamination and incident follow-up.

Objective 4.7 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response: Public safety agencies within the Bay Area are able to keep the public and critical infrastructure safe by securing a particular incident scene and maintaining law and order following an incident or emergency to include managing the criminal justice prisoner population.

Goal 5 Enhance Medical and Public Health Preparedness

Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment: Emergency medical services (EMS) resources across the Bay Area can effectively and appropriately be dispatched (including with law enforcement tactical teams) to provide pre-hospital triage, treatment, transport, tracking of patients, and documentation of care appropriate for the incident, while maintaining the capabilities of the EMS system for continued operations up to and including for mass casualty incidents.

Objective 5.2 Increase Medical Surge: The Bay Area is able to provide adequate medical evaluation and care during incidents that exceed the limits of the normal medical infrastructure of an affected community or the region. The healthcare system in the region is able to survive a hazard impact and maintain or rapidly recover operations that were compromised. Those injured or ill from a medical disaster and/or mass casualty event in the Bay Area are rapidly and appropriately cared for. Continuity of care is maintained for non-incident related illness or injury.

Objective 5.3 Strengthen Medical Countermeasure Dispensing: With the onset of an incident, the Bay Area is able to provide appropriate medical countermeasures (including vaccines, antiviral drugs, antibiotics, antitoxin, etc.) in support of treatment or prophylaxis (oral or vaccination) to the identified population in accordance with local, state and federal public health guidelines and/or recommendations.

Objective 5.4 Improve Medical Materiel Management and Distribution: The Bay Area is able to acquire, maintain (e.g., cold chain storage or other storage protocol), transport, distribute, and track medical materiel (e.g., pharmaceuticals, gloves, masks, and ventilators) during an incident and recover and account for unused medical materiel, as necessary, after an incident.

Objective 5.5 Strengthen Non-Pharmaceutical Interventions: Public health agencies in the Bay Area are able to recommend to the applicable lead agency (if not public health) and implement, if applicable, strategies for disease, injury, and exposure control. Strategies include the following: isolation and quarantine, restrictions on movement and travel advisory/warnings, social distancing, external decontamination, hygiene, and precautionary protective behaviors. Legal authority for those applicable measures is clearly defined and communicated to all responding agencies and the public. Logistical support is provided to maintain measures until danger of contagion has elapsed.

Objective 5.6 Improve Laboratory Testing: Laboratories in the Bay Area are able to conduct rapid and conventional detection, characterization, confirmatory testing, data reporting, investigative support, and laboratory networking to address actual or potential exposure to all-hazards. Confirmed cases and laboratory results are reported immediately to all relevant public health, food regulatory, environmental regulatory, and law enforcement agencies in support of operations and investigations.

Objective 5.7 Strengthen Public Health Surveillance and Epidemiological Investigation: Bay Area public health agencies have the ability to create, maintain, support, and strengthen

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routine surveillance and detection systems and epidemiological investigation processes, as well as to expand these systems and processes in response to incidents of public health significance. This includes the ability to identify potential exposure to disease, mode of transmission, and agent.

Objective 5.8 Enhance Fatality Management: Bay Area agencies, e.g., law enforcement, public health, healthcare, emergency management, and medical examiner/coroner) are able to coordinate (to ensure the proper recovery, handling, identification, transportation, tracking, storage, and disposal of human remains and personal effects; certify cause of death; and facilitate access to mental/ behavioral health services to the family members, responders, and survivors of an incident.

Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities

Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities: The Bay Area has an interoperable and standards-based system of multiple emergency public information and warning systems that allows Bay Area leaders and public health and safety personnel to disseminate prompt, clear, specific, accurate, and actionable emergency public information and warnings to all affected members of the community in order to save lives and property concerning known threats or hazards.

Objective 6.2 Strengthen Operational Coordination Capabilities: The Bay Area has a fully integrated response system through a common framework of the Standardized Emergency Management System, Incident Command System and Unified Command including the use of emergency operations centers (EOCs), incident command posts, emergency plans and standard operating procedures, incident action plans and the tracking of on-site resources in order to manage major incidents safely, effectively and efficiently. EOCs in the Bay Area can effectively plan, direct and coordinate information and activities internally within EOC functions, and externally with other multi-agency coordination entities, command posts and other agencies to effectively coordinate disaster response operations.

Objective 6.3 Enhance Critical Transportation Capabilities: The Bay Area can provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people, including those with access and functional needs, and animals, and the delivery of vital response personnel, equipment, and services into the affected incident areas to save lives and to meet the needs of disaster survivors.

Objective 6.4 Improve Mass Care: Mass care services, including sheltering, feeding, and bulk distribution, are rapidly, effectively and efficiently provided for the impacted population, including those with access and functional needs, in a manner consistent with all applicable laws, regulations and guidelines.

Objective 6.5 Increase Community Resiliency: The Bay Area has a formal structure and process for ongoing collaboration between government and nongovernmental resources at all levels to prevent, protect/mitigate, prepare for, respond to and recover from all known threats and hazards.

Objective 6.6 Strengthen Public and Private Services and Resources Management through Volunteer Management and Donations: Volunteers and donations within the Bay Area are organized and managed throughout an emergency based upon pre-designated plans,

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procedures and systems.

Objective 6.7 Improve Public and Private Services and Resources Management through Critical Resource Logistics: The Bay Area has a system to track and manage critical resources and make them appropriately available to incident managers and emergency responders from across the Bay Area to enhance emergency response operations and aid disaster victims in a cost-effective and timely manner.

Goal 7 Enhance Recovery Capabilities

Objective 7.1 Strengthen Infrastructure Systems: The Bay Area can provide accurate situation needs and damage assessments by utilizing the full range of engineering, building inspection, and code enforcement services in a way that maximizes the use of resources, aids emergency response, implements recovery operations, and restores the affected area to pre-incident conditions as quickly as possible. The Bay Area can coordinate activities between critical lifeline operations and government operations to include a process for getting the appropriate personnel and equipment to the disaster scene so that lifelines can be restored as quickly and as safely as possible to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery

Objective 7.2 Enable Economic Recovery: During and following an incident, the Bay Area can estimate economic impact, prioritize recovery activities, minimize business disruption, and provide individuals and families with appropriate levels and types of relief with minimal delay.

Objective 7.3 Improve Environmental Response/Health and Safety: After the primary incident, the Bay Area is able to assess, monitor, perform cleanup actions, including debris and hazardous waste removal, and provide resources to prevent disease and injury through the quick identification of associated environmental hazards.

Goal 8 Enhance Homeland Security Exercise, Evaluation and Training Programs

8.1 Strengthen the Regional Exercise and Evaluation Program: The Bay Area exercise program tests and evaluates the region's enhancement and/or sustainment of the right level of capability based on the risks faced by the region with an evaluation process that feeds identified capability gaps and strengths directly into the region's risk management and planning process for remediation or sustainment.

8.2 Enhance the Regional Training Program: The Bay Area has a multi-discipline, multi-jurisdictional risk and capabilities based training program that enhances and sustains priority capabilities in order to mitigate the region's most pressing risks.

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Strategy Implementation

The Bay Area UASI Management Team will have overall responsibility for managing and tracking implementation of the *Strategy* with oversight from the Bay Area UASI Approval Authority and input from the region's other stakeholders. Implementation will occur through major annual investments and projects developed at the city, county/operational area, sub-regional and regional level.

The Bay Area's strategic approach to investing will be premised on two overarching principles:

- First, sustain current priority programs and capabilities in the region.
- Second, close gaps in capabilities with an emphasis on those capabilities that have the highest risk relevance and the largest capability gaps.

The Management Team is responsible for developing the region's annual planning and investment guidance, which outlines the details for planning structures and priorities to ensure the Bay Area is executing the strategy through investments. These details actualize the two guiding investment principles outlined above. It includes planning timelines, grant guidance, project templates and such other materials and policies as may be necessary to ensure a seamless and integrated planning structure and system for each year.

Evaluation of the Strategy

In order to truly understand the value of the Bay Area's homeland security investments, the region must have a consistent mechanism by which to measure the effectiveness of the homeland security activities generated (i.e., what plans were developed, personnel hired, organization and operations conducted, equipment purchased, number of people trained, and exercises conducted, etc.) by those investments. This will be done in the form of an effectiveness report to the Approval Authority, which may be shared with state and federal partners as needed.³ Through its goals and objectives, the *Strategy* outlines the region's approach and path forward for homeland security. The effectiveness report outlines the region's progress in achieving those goals and objectives based on enhancing capabilities tied to risk management.

³ In 2011, the Bay Area produced a preliminary UASI effectiveness report, which examined certain UASI investments to determine if the region had been following its strategic plans over the years and investing in priority, risk based capabilities. A more extensive follow-on report was issued in November 2012. The overall findings from both the 2011 and the 2012 report show that the region has been investing according to its plans and that priority capabilities have been enhanced to help reduce risk.

101013

AGENDA ITEM # 4

APPENDIX B

BAY AREA HOMELAND
SECURITY STRATEGY AND
IMPLEMENTATION PLAN
2012 - 2015

The Bay Area Homeland Security Strategy and Implementation Plan 2012 – 2015



October 2013

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Background

Homeland Security is the coordinated effort to ensure the entire Bay Area region is prepared to prevent, protect against, mitigate, respond to and recover from threats and acts of terrorism and other man-made or natural catastrophes. It requires a risk management process in order to ensure the region has the right capabilities in place to manage those hazards that pose the greatest risk to the Bay Area, its people, and its critical infrastructure and key resources. The threat of catastrophic events, both natural and man-made, requires continuous attention and strategic commitment from all levels of government, the private sector and the general public. The Bay Area is committed to this effort.

The Urban Areas Security Initiative (UASI) program provides financial assistance to address the unique multi-discipline planning, organization, equipment, training, and exercise needs of high-threat, high-density urban areas, and assists those urban areas with supplemental funding to build and sustain capabilities to prevent, protect against, mitigate, respond to, and recover from threats or acts of terrorism and other major hazards. Working together, the entire Bay Area UASI has strived to integrate preparedness activities, especially preparedness planning at the strategic level. This homeland security strategy represents the latest effort in that regard.

Purpose

The purpose of the *Bay Area Homeland Security Strategy* (“*Bay Area Strategy*” or “*Strategy*”) is to ensure the Bay Area region has a comprehensive document and system that outlines the region’s risks, capabilities, vision, structure, goals and objectives for homeland security. Having such a *Strategy* will ensure the Bay Area is in the best possible position to clearly track and articulate its risk and capability needs to local leaders, the State of California and the U.S. Department of Homeland Security (DHS) when seeking resources and funding to enhance homeland security and public safety across the region.

The *Strategy* is designed primarily to address terrorism risk faced by the Bay Area with an understanding that capabilities enhanced to combat terrorism often enhance the ability to also manage natural disasters, such as earthquakes, and man-made accidents, such as hazardous materials spills. The *Strategy* outlines a comprehensive system for enhancing regional capability and capacity that will guide the Bay Area’s efforts to:

- Prevent and disrupt terrorist attacks
- Protect the people of the Bay Area, its critical infrastructure and key resource
- Mitigate the damage caused by acts of terrorism, natural disasters and man-made accidents
- Respond to and recover from major incidents that do occur
- Continue to strengthen our preparedness foundation to ensure our long-term success
- Guide future investments, increase capabilities and reduce risk

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Finally, the *Strategy* does not alter the statutory or regulatory authority or responsibility of any agency in the Bay Area related to public safety, health, and security. Nor does the *Strategy* impose any affirmative duty for any jurisdiction or entity to take any action or inaction concerning public health, safety, or security. Rather, the *Strategy* is designed as an integration tool and guide to better coordinate and focus those often disparate authorities and resources spread across the region necessary to achieve homeland security.

Vision

The Bay Area's vision for homeland security is a secure, prepared and resilient region consistently developing regional capabilities based on an analysis of risk through collaboration and coordination.

Jurisdiction Description

The current Bay Area UASI region is comprised of twelve counties (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Santa Cruz, Solano, Sonoma, Monterey and San Benito) and the three major cities of Oakland, San Francisco, and San Jose.¹ In 2005, prior to the DHS led consolidation, this group initiated regional planning and collaboration efforts by developing the Regional Emergency Coordination Plan (RECP).

The Bay Area UASI is inclusive of over 100 incorporated cities and a combined total population exceeding 7.5 million people. In addition to the 7.5 million residents, the Bay Area attracts 15.9 million visitors annually who spend more than \$16.6 million per day in the region. The Bay Area is one of the most culturally diverse areas in California.

Urban Area Structure

The Bay Area UASI is managed through a three-tiered governance structure. The top tier is the eleven-member Approval Authority that includes representation from each of the three major cities of Oakland, San Francisco, and San Jose and the County of Alameda, County of Contra Costa, County of Marin, County of Monterey, County of San Francisco, County of San Mateo, County of Santa Clara and County of Sonoma. An appointee from the Secretary of the California Emergency Management Agency is also a non-voting member. The Approval Authority provides policy direction to the program and is responsible for final decisions.

The eleven-member Approval Authority works collaboratively with an Advisory Group which acts as the second tier of the governance structure. Advisory Group members include one representative each from the twelve Bay Area county operational areas, the three major cities, the regional NCRIC and an appointee from the Director of the Governor's Office of Emergency

¹The California Emergency Management Agency (CalEMA) divides the state's 58 counties into 3 administrative regions: Coastal, Inland, and Southern. The Bay Area UASI is part of the Coastal Region which includes: law, fire, coroners/medical examiners, emergency medical, and search and rescue mutual aid systems.

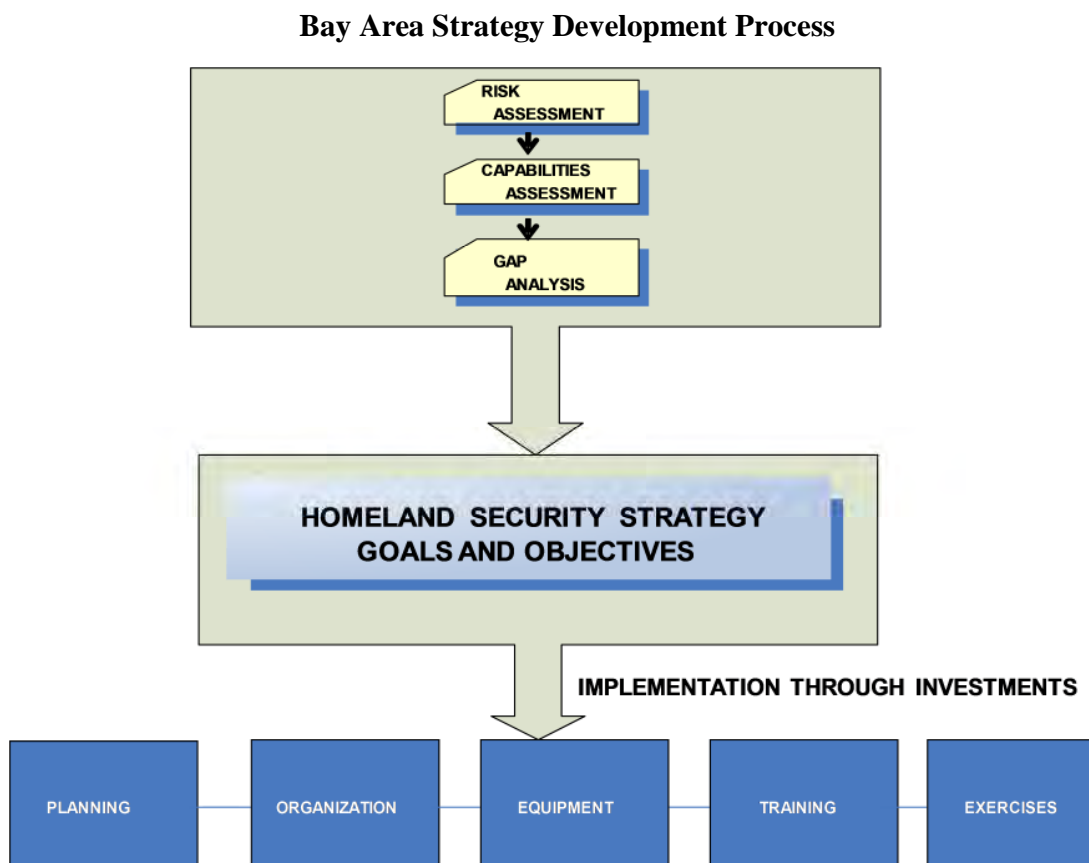
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Services. The Advisory Group makes policy and programmatic recommendations to the Approval Authority and ensures there is broad representation, input and participation in the regional planning process.

Managing the day-to-day work of the Bay Area UASI is a Management Team comprised of a general manager, an assistant general manager, project managers, a chief financial officer, and finance and grants staff. The City and County of San Francisco has been designated as the fiscal agent for the grants managed by the Bay Area UASI.

Strategy Development Process

Through a series of meetings and other planning activities within the region, the *Strategy* and its goals and objectives as well as various ideas and recommendations were developed. The planning process used to develop the *Strategy* is outlined below. This process included a regional risk assessment, a capabilities assessment, and a gap analysis. From that data, strategic goals and objectives were updated along with implementation steps. The implementation steps involve a series of resource elements divided among the elements of capability: plans, organization, equipment, training and exercises (POETE) needed to achieve the objective as outlined in the figure below.



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In 2008, the Bay Area UASI produced five major planning guidance documents: an assessment and strategic plan for regional interoperable communications; an assessment and project plan for community preparedness; a gap analysis and multi-year training and exercise program for EMS, the fire service and law enforcement; a training and exercise mandate for search and rescue; and a chemical, biological, radiological, nuclear, and/or explosive (CBRNE) assessment and strategic plan. In 2011 the region produced several region-wide response and recovery plans focusing on catastrophic disaster management. This was followed by a regional assessment and strategic plan for public information and warning. The plans from 2011 and 2012 cover:

- Mass Care and Sheltering
- Interim Housing
- Mass Fatality Management
- Donations Management
- Debris Removal
- Mass Transportation
- Volunteer Management
- Emergency Public Information and Warning

All of these plans and strategies have been reviewed and relevant key elements have been integrated into this overall regional *Bay Area Homeland Security Strategy*.

State and National Goals

The *Strategy* is built on the premise that achieving homeland security is an ongoing mission and one that must be a shared responsibility across the entire region, state and nation. This includes our local, tribal, state, and federal agencies, international partners, community organizations, businesses and individuals. Therefore, the *Strategy* supports implementation of the State of California Homeland Security Strategy and the National Security Strategy. Indeed, this *Strategy* serves as the Bay Area's focal point for implementing not only local and regional homeland security policy and priorities, but also national and state homeland security policy at the local and regional level.

The *Strategy* is also linked directly to the federally required Threat Hazard Identification and Risk Assessment (THIRA). The THIRA uses the region's risk and capabilities data described below to set regional capability targets that the region should strive towards based on terrorism, natural hazard and technological hazard scenarios that pose a significant risk to the region as a whole. These regional targets then help inform the goals, objectives and implementation steps in the *Strategy*.

Bay Area Risk Overview

Mitigating risk plays a vital role in the region's homeland security efforts. Risk is the expected negative impact of an adverse incident (whether the result of terrorism or a natural hazard) on an asset, considering both its likelihood and the magnitude of its impact. Risk can be expressed as a number or value in order to make comparisons. The Bay Area calculates risk as a function of threat, vulnerability, and consequence: **Risk = Threat x Vulnerability x Consequence**. The Bay

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Area's risk environment is a complex one involving terrorism, crime, natural hazards and industrial and other accidents concerning its people, and critical infrastructure and key resources (CIKR).

In addition to its large population, there are approximately 13,000 CIKR assets in the entire Bay Area that cover all 18 *National Infrastructure Protection Plan (NIPP)* sectors. These assets include [REDACTED]

The terrorism scenarios and natural hazards that pose the greatest risk to the Bay Area's CIKR are listed below in rank order:

Rank	Terrorism Scenarios	Natural Hazards
1	Vehicle Borne Improvised Explosive Device	Flood
2	Aircraft as a Weapon	Earthquake
3	Improvised Explosive Device	Wildfire
4	Biological Attack (Contagious)	Ice
5	Cyber Attack	Wind

From a terrorism perspective, the Bay Area's CIKR is particularly at risk from vehicle borne improvised explosive devices (VBIED), e.g., car or truck bombings against critical infrastructure. The relatively high likelihood of a VBIED attack in the Bay Area is driven by the ease and low expense of carrying out such an attack. Such a method of attack is common around the world. When combined with a conventional IED attack, over 50% of the calculated risk to the region's CIKR comes from terrorists' use of explosives. In addition to IEDs, general aviation aircraft as a weapon poses a risk given the number of general aviation airports in the region and the lower security standards imposed on general aviation as compared to commercial aviation.

The Bay Area also faces risk from natural hazards, especially floods, earthquakes and wildfires. The region rests upon one of the longest and most active earthquake fault systems in the world. This system includes the San Andreas Fault, the Hayward Fault and the Calaveras Fault. The U.S. Geological Survey estimates an 80% chance of a magnitude 6.7 or greater quake striking the Bay Area within the next 30 years. Based on the Bay Area's topography, risk from wild land fires as well as tsunamis are also of major concern.

A breakdown of the top ten CIKR sectors in the Bay Area based on the number of assets and risk to each sector (both from terrorism and natural hazards) is set forth in the table below.

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Bay Area Sector Rankings

Rank	Sectors Ranked by Total Assets	Sectors Ranked by Terrorism Risk	Sectors Ranked by Natural Hazards Risk
1	Government	Transportation	Government
2	Commercial	Government	Water
3	Emergency Services	Banking	Commercial
4	Transportation	Commercial	Transportation
5	Postal	Health	Health
6	Dams	Defense Industrial Base	Energy
7	Water	Water	Emergency Services
8	Health	Monuments and Icons	Chemical
9	Banking	Energy	Communications
10	Energy	Communications	Banking

The NCRIC has further refined all of the region’s assets into four priority levels (Level I being the highest and Level IV being the lowest priority) with the vast majority of the assets (over 8,100) falling within priority Level IV. Just 2% of all NCRIC identified assets fall into Level I. Such a breakdown reflects the region’s goal of accounting for as many assets as possible while recognizing that a smaller subset of those assets, if attacked or otherwise incapacitated, could have a devastating impact on the region.

Capabilities Assessment

Upon updating its risk profile, the Bay Area identified those Core Capabilities that were most needed to address the highest-risk acts of terrorism faced by the region i.e., how vital each capability is to preventing, protecting against, mitigating, responding to and recovering from acts of terrorism that pose a risk to the region. While the assessment was driven by terrorism risk, most, if not all of the capabilities involved in the assessment can be used to address natural hazards as well. This “dual use” concept is one the Bay Area has used for years and will continue to use to help drive investments and strategic planning across the region.

In 2013, the region developed the first in the nation Compendium of Core Capabilities. The Bay Area Compendium of Core capabilities outlines Core Capability targets for Operational Areas and major cities in the region along with detailed measures and metrics to evaluate a jurisdiction’s preparedness level in each Core Capability. Each capability target in the Compendium represents a portion or fraction of the capability targets and outcomes from the THIRA.

The compendium was used by each operational area and major city along with a regional assessment involving all jurisdictions. For the assessments, capability levels were organized into five areas or answers that determined level of ability per measure and metric in each Core Capability: Yes/Complete Success, Substantial Progress, Limited Progress, No Progress and Not Applicable.

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Upon completing the capabilities assessments, the Core Capabilities were then plotted by terrorism risk relevance and capability gap depending on each capabilities risk relevance and the size of the gap in the capability. The Core Capabilities with the largest capability gap and highest risk relevance were ranked highest. The full findings from the 2012 Core Capabilities assessment, including current levels of ability and capability gaps, for the Bay Area are set forth in the table below.

2013 Core Capability Assessment Findings

Risk and Gap	Core Capability	Risk Relevance	Level of Ability	Gap Analysis
1	Infrastructure Systems	3	25%	Needs Extra Attention
2	Long Term Vulnerability Reduction	6	31%	Needs Attention
3	Physical Protective Measures	7	39%	Needs Attention
4	Public Information and Warning	9	26%	Needs Attention
5	Operational Communications	16	34%	Needs Attention
6	Community Resilience	1	69%	Needs Attention
7	Intelligence and Information Sharing	4	55%	Needs Attention
8	Planning	8	58%	Needs Attention
9	Situational Assessment	12	57%	Needs Attention
10	Screening, Search and Detection	14	68%	Needs Attention
11	Forensics and Attribution	2	79%	Sustain
12	Interdiction and Disruption	5	70%	Sustain
13	Risk and Disaster Resilience Assessment	10	90%	Sustain
14	Risk Management for Protection Programs	11	82%	Sustain
15	Threats and Hazard Identification	13	84%	Sustain
16	Operational Coordination	15	80%	Sustain
17	Access Control and Identity Verification	18	34%	Needs Attention
18	Critical Transportation	21	27%	Needs Attention
19	Cyber Security	20	33%	Needs Attention
20	Natural and Cultural Resources	28	30%	Sustain
21	Public Health and Medical	19	67%	Sustain
22	Fatality Management	21	61%	Sustain
23	Mass Search and Rescue	23	69%	Sustain
24	On-Scene Security and Protection	18	85%	Sustain
25	Supply Chain Integrity	26	25%	Sustain
26	Health and Social Services	25	34%	Needs Attention
27	Mass Care	29	42%	Sustain
28	Housing	31	38%	Sustain
29	Environmental Response/Health and Safety	24	82%	Sustain
30	Economic Recovery	27	38%	Sustain
31	Public and Private Services and Resources	30	49%	Sustain

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Summary of Goals and Objectives

After completing the risk and capabilities assessments, the region used the information to update the goals, objectives and implementation steps in the *Strategy*. Each of the *Strategy's* goals seeks to align whenever possible with either a National or State Homeland Security Priority. The eight DHS National Homeland Security Priorities represent broad and thematic goals that the nation should strive to achieve. They include Strengthen Information Sharing and Collaboration Capabilities, Strengthen Interoperable and Operable Communications Capabilities, etc. Each objective aligns with a capability or set of capabilities from the Core Capabilities², and the Centers for Disease Control and Prevention's (CDC's) Public Health Preparedness Capabilities for medical and health related objectives. Each objective describes the desired capability end state the region will strive to achieve.

The purpose of aligning each objective to a capability is to ensure the *Strategy* drives investments centered on enhancing specifically defined capabilities needed to better secure and protect the Bay Area from those acts of terrorism and other major hazards that pose the greatest risk to the region. In the end, the Bay Area's ability to prevent acts of terrorism or respond effectively to major natural disasters, such as a catastrophic earthquake, will be determined by the region having sufficient capabilities in place to deal with incidents caused by those threats and hazards. The *Strategy's* goals, objectives and implementation steps outline in detail what the Bay Area needs to do to make sure it achieves and sustains those capabilities.

The goals and objectives are directed towards the next three years and may be reviewed and updated annually or as needed. It is likely that some of the objectives will carry over from year to year while others may be removed or updated based on the region's progress and actual needs. The goals and objectives will continue to be defined by risk analysis, identified preparedness gaps and sustainment priorities. A summary of the Bay Area's 8 goals and 31 objectives is set forth below.

² In certain cases an objective may reference both a Core Capability and a Target Capability, e.g., Objective 4.1 Improve Public and Private Services and Resources Management through *Fire Incident Response Support*. (Target Capability is in italics). This is due to the fact that certain Core Capabilities are ambiguous in their terms and require added definition, which the Target Capabilities provide, and/or the Core Capabilities are inclusive of multiple capabilities that were formally divided among the Target Capabilities List and that division is still necessary for planning purposes in the Bay Area, e.g., Objective 6.7 Improve Public and Private Services and Resources Management through *Critical Resource Logistics*. This breaking up of certain Core Capabilities along the Target Capability taxonomy reflects the reality of how the Bay Area plans and invests in these Core Capabilities.

Goal 1 Strengthen the Regional Risk Management and Planning Program

Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities: The Bay Area is able to identify and assess the threats and hazards that pose the greatest risk to the whole community. The region can prioritize and select appropriate capability-based planning investments and solutions for prevention, protection, mitigation, response, and recovery concerning those risks; monitor the outcomes of allocation decisions; and undertake corrective and sustainment actions.

Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities

Objective 2.1 Enhance Intelligence Collection, Analysis and Sharing: The Bay Area has systems and procedures to effectively collect, analyze and timely share information and intelligence across federal, state, local, tribal, territorial, regional, and private sector entities to achieve coordinated awareness of, prevention of, protection against, mitigation of, and response to a threatened or actual terrorist attack, major disaster, or other emergency. This involves sustaining and building upon the region's intelligence fusion center to include the ability to identify and systematically report suspicious activities associated with potential terrorist or criminal pre-operational planning and logistics.

Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities: The Bay Area's law enforcement community (federal, state and local) and other public safety agencies can conduct forensic analysis and attribute terrorist threats and acts to help ensure that suspects involved in terrorist and criminal activities related to homeland security are successfully identified, deterred, detected, disrupted, investigated, and apprehended.

Objective 2.3 Increase Critical Infrastructure Protection: The Bay Area can assess the risk to the region's physical and cyber critical infrastructure and key resources from acts of terrorism, crime, and natural hazards and deploy a suite of actions to enhance protection and reduce the risk to the region's critical infrastructure and key resources from all hazards. This includes a risk-assessment process and tools for identifying, assessing, cataloging, and prioritizing physical and cyber assets from across the region.

Objective 2.4 Enhance Cyber Security: Cyber security programs at the County and major city level meet the Federal Information Processing Standards 200 - Minimum Security Requirements for Federal Information and Information Systems. The region and its jurisdictions can detect malicious cyber activity, conduct technical counter-measures against existing and emerging cyber-based threats, and quickly recover from cyber-attacks in order to ensure the security, reliability, integrity, and availability of its electronic systems and services.

Goal 3 Strengthen Communications Capabilities

Objective 3.1 Enhance Operational Communications Capabilities: The emergency response community in the Bay Area has the ability to provide a continuous flow of mission critical voice, data and imagery/video information among multi-jurisdictional and multidisciplinary emergency responders, command posts, agencies, and Bay Area governmental officials for the duration of an emergency response operation. The Bay Area can

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also re-establish sufficient communications infrastructure within the affected areas of an incident, whatever the cause, to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery.

Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities

Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support: Fire service agencies across the Bay Area can dispatch initial fire suppression resources within jurisdictional response time objectives, and firefighting activities are conducted safely with fire hazards contained, controlled, extinguished, and investigated, with the incident managed in accordance with local and state response plans and procedures.

Objective 4.2 Strengthen Mass Search and Rescue Capabilities: Public safety personnel in the Bay Area are able to conduct search and rescue operations to locate and rescue persons in distress and initiate community-based search and rescue support-operations across a geographically dispersed area. The region is able to synchronize the deployment of local, regional, national, and international teams to support search and rescue efforts and transition to recovery.

Objective 4.3 Enhance Screening Search and Detection Capabilities: The Bay Area has systems and procedures to rapidly detect, locate and identify CBRNE materials at ports of entry, critical infrastructure locations, public events, and incidents, and can communicate CBRNE detection, identification and warning information to appropriate entities and authorities across the state and at the federal level.

Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations: Public safety bomb squads in the Bay Area are able to conduct threat assessments; render safe explosives and/or hazardous devices; and clear an area of explosive hazards in a safe, timely, and effective manner. This involves the following steps in priority order: ensure public safety; safeguard the officers on the scene (including the bomb technician); collect and preserve evidence; protect and preserve public and private property; and restore public services.

Objective 4.5 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities: Responders in the Bay Area are able to conduct health and safety hazard assessments and disseminate guidance and resources, including deploying HazMat response and decontamination teams, to support immediate environmental health and safety operations in the affected area(s) following a WMD or HazMat incident. Responders are also able to assess, monitor, clean up, and provide resources necessary to transition from immediate response to sustained response and short-term recovery.

Objective 4.6 Improve Environmental Response/Health and Safety through Responder Safety and Health: The Bay Area can reduce the risk of illnesses or injury to first responders, first receivers, medical facility staff members, or other skilled support personnel as a result of preventable exposure to secondary trauma, chemical/radiological release, infectious disease, or physical/emotional stress after the initial incident or during decontamination and incident follow-up.

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Objective 4.7 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response: Public safety agencies within the Bay Area are able to keep the public and critical infrastructure safe by securing a particular incident scene and maintaining law and order following an incident or emergency to include managing the criminal justice prisoner population.

Goal 5 Enhance Medical and Public Health Preparedness

Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment: Emergency medical services (EMS) resources across the Bay Area can effectively and appropriately be dispatched (including with law enforcement tactical teams) to provide pre-hospital triage, treatment, transport, tracking of patients, and documentation of care appropriate for the incident, while maintaining the capabilities of the EMS system for continued operations up to and including for mass casualty incidents.

Objective 5.2 Increase Medical Surge: The Bay Area is able to provide adequate medical evaluation and care during incidents that exceed the limits of the normal medical infrastructure of an affected community or the region. The healthcare system in the region is able to survive a hazard impact and maintain or rapidly recover operations that were compromised. Those injured or ill from a medical disaster and/or mass casualty event in the Bay Area are rapidly and appropriately cared for. Continuity of care is maintained for non-incident related illness or injury.

Objective 5.3 Strengthen Medical Countermeasure Dispensing: With the onset of an incident, the Bay Area is able to provide appropriate medical countermeasures (including vaccines, antiviral drugs, antibiotics, antitoxin, etc.) in support of treatment or prophylaxis (oral or vaccination) to the identified population in accordance with local, state and federal public health guidelines and/or recommendations.

Objective 5.4 Improve Medical Materiel Management and Distribution: The Bay Area is able to acquire, maintain (e.g., cold chain storage or other storage protocol), transport, distribute, and track medical materiel (e.g., pharmaceuticals, gloves, masks, and ventilators) during an incident and recover and account for unused medical materiel, as necessary, after an incident.

Objective 5.5 Strengthen Non-Pharmaceutical Interventions: Public health agencies in the Bay Area are able to recommend to the applicable lead agency (if not public health) and implement, if applicable, strategies for disease, injury, and exposure control. Strategies include the following: isolation and quarantine, restrictions on movement and travel advisory/warnings, social distancing, external decontamination, hygiene, and precautionary protective behaviors. Legal authority for those applicable measures is clearly defined and communicated to all responding agencies and the public. Logistical support is provided to maintain measures until danger of contagion has elapsed.

Objective 5.6 Improve Laboratory Testing: Laboratories in the Bay Area are able to conduct rapid and conventional detection, characterization, confirmatory testing, data reporting, investigative support, and laboratory networking to address actual or potential exposure to all-hazards. Confirmed cases and laboratory results are reported immediately to all relevant public health, food regulatory, environmental regulatory, and law enforcement agencies in support of operations and investigations.

Objective 5.7 Strengthen Public Health Surveillance and Epidemiological Investigation: Bay Area public health agencies have the ability to create, maintain, support, and strengthen

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routine surveillance and detection systems and epidemiological investigation processes, as well as to expand these systems and processes in response to incidents of public health significance. This includes the ability to identify potential exposure to disease, mode of transmission, and agent.

Objective 5.8 Enhance Fatality Management: Bay Area agencies, e.g., law enforcement, public health, healthcare, emergency management, and medical examiner/coroner) are able to coordinate (to ensure the proper recovery, handling, identification, transportation, tracking, storage, and disposal of human remains and personal effects; certify cause of death; and facilitate access to mental/ behavioral health services to the family members, responders, and survivors of an incident.

Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities

Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities: The Bay Area has an interoperable and standards-based system of multiple emergency public information and warning systems that allows Bay Area leaders and public health and safety personnel to disseminate prompt, clear, specific, accurate, and actionable emergency public information and warnings to all affected members of the community in order to save lives and property concerning known threats or hazards.

Objective 6.2 Strengthen Operational Coordination Capabilities: The Bay Area has a fully integrated response system through a common framework of the Standardized Emergency Management System, Incident Command System and Unified Command including the use of emergency operations centers (EOCs), incident command posts, emergency plans and standard operating procedures, incident action plans and the tracking of on-site resources in order to manage major incidents safely, effectively and efficiently. EOCs in the Bay Area can effectively plan, direct and coordinate information and activities internally within EOC functions, and externally with other multi-agency coordination entities, command posts and other agencies to effectively coordinate disaster response operations.

Objective 6.3 Enhance Critical Transportation Capabilities: The Bay Area can provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people, including those with access and functional needs, and animals, and the delivery of vital response personnel, equipment, and services into the affected incident areas to save lives and to meet the needs of disaster survivors.

Objective 6.4 Improve Mass Care: Mass care services, including sheltering, feeding, and bulk distribution, are rapidly, effectively and efficiently provided for the impacted population, including those with access and functional needs, in a manner consistent with all applicable laws, regulations and guidelines.

Objective 6.5 Increase Community Resiliency: The Bay Area has a formal structure and process for ongoing collaboration between government and nongovernmental resources at all levels to prevent, protect/mitigate, prepare for, respond to and recover from all known threats and hazards.

Objective 6.6 Strengthen Public and Private Services and Resources Management through Volunteer Management and Donations: Volunteers and donations within the Bay Area are organized and managed throughout an emergency based upon pre-designated plans,

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procedures and systems.

Objective 6.7 Improve Public and Private Services and Resources Management through Critical Resource Logistics: The Bay Area has a system to track and manage critical resources and make them appropriately available to incident managers and emergency responders from across the Bay Area to enhance emergency response operations and aid disaster victims in a cost-effective and timely manner.

Goal 7 Enhance Recovery Capabilities

Objective 7.1 Strengthen Infrastructure Systems: The Bay Area can provide accurate situation needs and damage assessments by utilizing the full range of engineering, building inspection, and code enforcement services in a way that maximizes the use of resources, aids emergency response, implements recovery operations, and restores the affected area to pre-incident conditions as quickly as possible. The Bay Area can coordinate activities between critical lifeline operations and government operations to include a process for getting the appropriate personnel and equipment to the disaster scene so that lifelines can be restored as quickly and as safely as possible to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery

Objective 7.2 Enable Economic Recovery: During and following an incident, the Bay Area can estimate economic impact, prioritize recovery activities, minimize business disruption, and provide individuals and families with appropriate levels and types of relief with minimal delay.

Objective 7.3 Improve Environmental Response/Health and Safety: After the primary incident, the Bay Area is able to assess, monitor, perform cleanup actions, including debris and hazardous waste removal, and provide resources to prevent disease and injury through the quick identification of associated environmental hazards.

Goal 8 Enhance Homeland Security Exercise, Evaluation and Training Programs

8.1 Strengthen the Regional Exercise and Evaluation Program: The Bay Area exercise program tests and evaluates the region's enhancement and/or sustainment of the right level of capability based on the risks faced by the region with an evaluation process that feeds identified capability gaps and strengths directly into the region's risk management and planning process for remediation or sustainment.

8.2 Enhance the Regional Training Program: The Bay Area has a multi-discipline, multi-jurisdictional risk and capabilities based training program that enhances and sustains priority capabilities in order to mitigate the region's most pressing risks.

Strategy Implementation

The Bay Area UASI Management Team will have overall responsibility for managing and tracking implementation of the *Strategy* with oversight from the Bay Area UASI Approval Authority and input from the region's other stakeholders. Implementation will occur through major annual investments and projects developed at the city, county/operational area, sub-regional and regional level.

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The Bay Area's strategic approach to investing will be premised on two overarching principles:

- First, sustain current priority programs and capabilities in the region.
- Second, close gaps in capabilities with an emphasis on those capabilities that have the highest risk relevance and the largest capability gaps.

The Management Team is responsible for developing the region's annual planning and investment guidance, which outlines the details for planning structures and priorities to ensure the Bay Area is executing the strategy through investments. These details actualize the two guiding investment principles outlined above. It includes planning timelines, grant guidance, project templates and such other materials and policies as may be necessary to ensure a seamless and integrated planning structure and system for each year.

Evaluation of the Strategy

In order to truly understand the value of the Bay Area's homeland security investments, the region must have a consistent mechanism by which to measure the effectiveness of the homeland security activities generated (i.e., what plans were developed, personnel hired, organization and operations conducted, equipment purchased, number of people trained, and exercises conducted, etc.) by those investments. This will be done in the form of an effectiveness report to the Approval Authority, which may be shared with state and federal partners as needed.³ Through its goals and objectives, the *Strategy* outlines the region's approach and path forward for homeland security. The effectiveness report outlines the region's progress in achieving those goals and objectives based on enhancing capabilities tied to risk management.

³ In 2011, the Bay Area produced a preliminary UASI effectiveness report, which examined certain UASI investments to determine if the region had been following its strategic plans over the years and investing in priority, risk based capabilities. A more extensive follow-on report was issued in November 2012. The overall findings from both the 2011 and the 2012 report show that the region has been investing according to its plans and that priority capabilities have been enhanced to help reduce risk.

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SECTION 1

INTRODUCTION

1.1 Background

Homeland Security is the coordinated effort to ensure a region, state or nation is prepared to prevent, protect against, respond to and recover from threats and acts of terrorism and other man-made or natural catastrophes. It requires a risk management process in order to ensure the right capabilities are in place to manage those hazards that pose the greatest risk to the region, its people, and its critical infrastructure and key resources. The threat of catastrophic events, both natural and man-made, requires continuous attention and strategic commitment from all levels of government, the private sector and the general public.

The Northern California Bay Area is a major target of terrorist organizations and a region with an extensive history of natural disasters. To better address these risks on a regional basis, in 2006, the U.S. Department of Homeland Security (DHS) combined three previously independent Urban Areas (Oakland, San Francisco, and San Jose) under the DHS Urban Area Security Initiative grant program and formed the Northern California Bay Area Urban Areas Security Initiative (Bay Area UASI) region for preparedness purposes.

The combining of the three previously independent Urban Areas prompted them to review their existing governance structures. As a result, the Bay Area UASI established a new three-tiered governance structure, which included the major cities of Oakland, San Francisco, and San Jose, the twelve county operational areas, and the State of California Emergency Management Agency. This governance structure is designed to ensure integration and coordination among the diverse members of the region as each works to collectively enhance the region's preparedness and security.

The Bay Area UASI is committed to the homeland security effort. Working together, the entire Bay Area UASI has strived to integrate preparedness activities, especially preparedness planning at the strategic level. This homeland security strategy represents the latest effort in that regard. The Bay Area UASI is a recognized leader in homeland security and has made great strides in improving preparedness and security while maintaining our standards of freedom and civil liberties. The region will build on its accomplishments, but must remain vigilant and continue to meet the challenges going forward.

1.2 Bay Area Overview

The Bay Area is inclusive of over 100 incorporated cities and a combined total population exceeding 7.5 million people. In addition to the 7.5 million residents, the Bay Area attracts 15.9 million visitors annually who spend more than \$16.6 million per day in the region. The Bay Area is one of the most culturally diverse regions in California. With just over 800,000 residents, San Francisco is the 4th most populous city in California and the most densely populated major city in the State. San Jose is the third largest city in California with Oakland being the eighth largest in the State.

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From the beginning of the UASI program in 2003, the geographic foot print of DHS- designated UASI jurisdictions has been a combination of DHS determined risk analysis and existing state, local and regional compacts. The formula used by DHS has changed almost yearly, along with the number of eligible jurisdictions, with one of the most dramatic shifts occurring in 2006. That year, DHS combined the three previously independent UASI jurisdictions of Oakland, San Francisco, and San Jose into the current Bay Area UASI.

The current Bay Area UASI region is comprised of twelve counties (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Santa Cruz, Solano, Sonoma, Monterey and San Benito) and the three major cities of Oakland, San Francisco, and San Jose. In 2005, prior to the DHS led consolidation, this group initiated regional planning and collaboration efforts by developing the Regional Emergency Coordination Plan (RECP). A map of the current Bay Area UASI is set forth in Figure 1.

Figure 1: Bay Area UASI Region



2008 marked another major shift in how DHS calculates risk and determines UASI funding eligibility. That year, per the 9/11 Act passed by Congress, DHS began a new evaluation process that utilized the U.S. Census-determined Metropolitan Statistical Areas (MSA) to determine eligibility and rank those UASI jurisdictions eligible for funding. In using this approach, jurisdictions within the MSA are included in the DHS risk analysis, but are not necessarily included in the actual UASI region's geographic footprint for funding. In the case of the Bay Area UASI, the region's twelve county geographic foot print is actually **larger** than the MSA region used by DHS to calculate risk. This is rare. The Bay Area UASI includes Santa Cruz, Sonoma, Solano, Monterey and San Benito counties, which are not part of the MSA used by DHS to calculate risk and then rank and fund the Bay Area under the UASI program.

1.3 Bay Area Management

The Bay Area homeland security program is comprised of the UASI grant program, COPS Technology Grant, Interoperable Emergency Communications Grant Program (IECGP), Regional Catastrophic Preparedness Grant Program (RCPGP), and the Public Safety Interoperable Communications (PSIC) grant program. These grants serve as both terrorism and all hazards preparedness programs. Thus, this Strategy is focused on all hazards with a particular emphasis on terrorism preparedness.

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Governed by a multi-year Memorandum of Understanding (MOU) between the participants, the Bay Area UASI is managed through a three-tiered governance structure. The Bay Area's governance structure is widely viewed as having an important, groundbreaking regional approach that has been recognized, and may be replicated, throughout the State of California and across the country as a homeland security best practice.

1.3.1 Approval Authority

The top tier is the eleven-member Approval Authority that includes representation from each of the three major cities of Oakland, San Francisco, and San Jose and the County of Alameda, County of Contra Costa, County of Marin, County of Monterey, County of San Francisco, County of San Mateo, County of Santa Clara and County of Sonoma. An Appointee from the Secretary of the California Emergency Management Agency (CalEMA) is also a non-voting member. The Approval Authority provides policy direction to the program and is responsible for final decisions.

1.3.2 Advisory Committee

The eleven-member Approval Authority works collaboratively with an Advisory Group which acts as the second tier of the governance structure. Advisory Group members include one representative each from the twelve Bay Area county operational areas, the three major cities, the regional NCRIC and an appointee from the Secretary of CalEMA. The Advisory Group makes policy and programmatic recommendations to the Approval Authority and ensures there is broad representation, input and participation in the regional planning process.

1.3.3 Management Team

Managing the day-to-day work of the Bay Area UASI is a Management Team comprised of a general manager, strategy and compliance director, several project managers, a finance manager, and grants managers. The City and County of San Francisco has been designated as the fiscal agent for the grants managed by the Bay Area.

1.3.4 Planning Hubs and Work Groups

The Bay Area also engages a variety of stakeholders throughout the region to move projects and initiatives forward and to provide essential input for decision makers of the Bay Area's homeland security efforts. Planning hubs are organized sub-regionally – North, South, East and West Bay hubs. Working groups generally organize themselves around the Strategy's goals and objectives. For example, the CBRNE Work Group manages issues related to the CBRNE goal (Goal 4 - Strengthen CBRNE Detection, Response, and Decontamination Capabilities). Work group members represent diverse interests and areas of expertise at the local, regional and state level. Each work group meets on an as needed basis to address identified projects and issues.

SECTION 2 PURPOSE

2.1 Purpose Overview

The purpose of the *Bay Area Homeland Security Strategy* is to ensure the Bay Area has a comprehensive, data driven document that outlines the Bay Area's risks, capabilities, vision, structure, goals and objectives for homeland security. Having such a document will ensure the Bay Area is in the best possible position to clearly track and articulate its risk and capability needs to local leaders, the State of California and DHS when seeking resources to reduce that risk and satisfy those capability needs. The *Strategy* is designed primarily to address terrorism risk with an understanding that capabilities enhanced to combat terrorism often enhance the ability to also manage natural disasters and man-made accidents.

The *Strategy* outlines a comprehensive system for enhancing regional capability and capacity that will guide the Bay Area UASI's efforts to:

- Prevent and disrupt terrorist attacks;
- Protect the people of the Bay Area, its critical infrastructure and key resources;
- Mitigate the damage caused by acts of terrorism, natural disasters and man-made accidents;
- Respond to and recover from major incidents and all hazards that do occur;
- Continue to strengthen our preparedness foundation to ensure our long-term success; and
- Guide future investments, increase capabilities and reduce risk.

This is an exceedingly complex mission requiring coordination, cooperation, collaboration, and focused effort from the entire region – residents, government, as well as the private and non-governmental organization sectors. The Bay Area region will apply the resources available from DHS to address unique planning, organizational, equipment, training, and exercise needs to assist in building an enhanced and sustainable capacity to prepare for all hazards. However, this *Strategy* is not a grant strategy; it is a comprehensive homeland security strategy that will be implemented through projects funded by Federal grants, general funds and such other funding opportunities that may become available.

2.2 Prior and Ongoing Planning Efforts

Prior to the 2006 consolidation of the three previously independent Urban Areas, the initial homeland security strategies were developed based upon the September 2003 regional assessments. That process included comprehensive risk, capabilities, and needs assessments. The results of the assessments provided an early insight into the requirements of each of the three Urban Areas at the time. The three strategies were revised in 2005 to align with the homeland security mission areas of prevention, protection, response and recovery, and the Target Capabilities List to enable the region to more effectively embrace the capabilities based planning process. Later, a regional strategy was developed in accordance with the consolidation of 2006. The 2006 Strategy was followed by a new 2010 Bay Area regional homeland security strategy

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based upon a region-wide risk and capabilities assessment conducted in late 2009. The 2010 Bay Area Strategy served as a baseline for this current *2013 Bay Area Homeland Security Strategy*.

In the past, the Bay Area region has conducted assessments and developed several strategic, operational and tactical level plans that have produced valuable data to help drive the region's policies and programs. Those assessments and strategies (and future assessments and strategies) serve two purposes concerning this Strategy: first, they provide valuable data and strategic input into this regional Strategy; and second, they serve as implementation plans, policies and procedures under the umbrella of this larger region-wide *Bay Area Homeland Security Strategy*. Appendix A outlines this interrelated planning structure.

In 2008, the Bay Area UASI produced five major planning guidance documents: an assessment and strategic plan for regional interoperable communications; an assessment and project plan for community preparedness; a gap analysis and multi-year training and exercise program for EMS, the fire service and law enforcement; a training and exercise mandate for search and rescue; and a CBRNE assessment and strategic plan. In 2011, the region produced several region-wide response and recovery plans focusing on catastrophic disaster management. This was followed by a 2012 regional strategic plan for public information and warning. The plans from both years cover:

- Mass Care and Sheltering
- Interim Housing
- Mass Fatality Management
- Donations Management
- Debris Removal
- Mass Transportation
- Volunteer Management
- Emergency Public Information and Warning

All of these plans and strategies from 2008 and beyond have been reviewed and relevant key elements have been integrated into this overall regional *Bay Area Homeland Security Strategy*.

Finally, the homeland security planning and implementation process has no "end state" any more than traditional public safety has an end point. Rather, it is a constant cycle of improving plans, procedures, systems and operations designed to enhance security and preparedness for the region. The Bay Area is committed to this process and the current *Bay Area Homeland Security Strategy* is the latest product in that endeavor.

SECTION 3

VISION

The Bay Area's vision for homeland security is a secure, prepared and resilient region consistently developing regional capabilities based on risk through collaboration and coordination.

The Bay Area's vision will be implemented through a set of guiding principles that will help shape this regional *Strategy* and its implementation and maintenance. These principles are:

- Homeland security is a shared responsibility among all regional members at all levels of government and the private sector.
- Local jurisdictions and sub-regions are in the best position to know how to achieve regional goals and objectives.
- Each individual jurisdiction and the region as a whole will be best able to implement its vision for homeland security through regional collaboration and cooperation.
- The region will strive to use empirical data to drive its homeland security programs to include risk and capabilities assessment data.
- Every individual and family across the region has a critical role to play in homeland security from preparing for disasters to helping deter and detect terrorist plots.
- The region will strive to develop and share best practices in homeland security across the region and the State of California and recognizes that such best practices are often first developed at the local level.
- The region will responsibly leverage and manage funds to achieve the optimal result with the dollars available. This will include, wherever possible, the integration of State Homeland Security Program grants and UASI grants among others.

SECTION 4 FOCUS & MISSION

4.1 Focus and Mission Overview

To accomplish the Bay Area’s vision for homeland security, this Strategy and its goals and objectives are focused and organized around managing **major/regional** threats and hazards through the five⁴ mission areas of homeland security: prevention, protection, mitigation, response and recovery. Certain programs cross all mission areas; these are listed in this document under the category “common.” The Strategy also reflects that day-to-day public safety policy development and implementation is the responsibility of local jurisdictions, while at the same time recognizing that such local capabilities are essential to building regional capacity for which this Strategy is designed. Each strategic goal and objective under this Strategy will be based upon and built to help the region achieve one or more of these mission areas. The five mission areas are broken down as follows:

4.1.1 Prevention

Prevention involves actions to avoid an incident or to intervene or stop a terrorist incident from occurring. It involves applying intelligence to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature of the threat; and, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators.

4.1.2 Protection

Protection involves actions to reduce the vulnerability of critical infrastructure or key resources in order to deter, mitigate, or neutralize terrorist attacks, major disasters, and other emergencies. It includes awareness elevation and understanding of threats and vulnerabilities to critical facilities, systems, and functions; identification and promotion of effective infrastructure sector-specific protection practices and methodologies; and information sharing among private entities within the sector, as well as between government and private entities.

⁴ When the mission areas were first developed the mitigation mission area was not formally recognized. In 2011, PPD-8 formally adopted mitigation as a homeland security mission area. Thus, up until 2011, there were only four mission areas plus the common mission area. This change is most relevant when dealing with the Target Capabilities List, which is aligned to the four mission areas, plus common, and the new Core Capabilities List, which is aligned to the five mission areas plus common, each of which is discussed in sections 4.3 and 4.4 respectively.

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4.1.3 Mitigation

Mitigation involves efforts to reduce loss of life and property by lessening the impact of disasters. Mitigation is achieved through risk analysis, which results in information that provides a foundation for mitigation activities that reduce risk. Mitigation includes ongoing public education and outreach activities designed to reduce loss of life and destruction of property; complying with or exceeding floodplain management and land-use regulations; enforcing stringent building codes, seismic design standards, and wind-bracing requirements for new construction, repairs, or retrofitting of existing buildings.

4.1.4 Response

Response includes activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and of mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes.

4.1.5 Recovery

Recovery involves activities that include the development, coordination, and execution of service-and-site-restoration plans; the reconstitution of government operations and services; individual, private-sector, nongovernmental, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; and additional measures for social, political, environmental, and economic restoration.

4.2 The National Priorities

The National Homeland Security Priorities represent broad and thematic goals that fall under the mission areas that the Nation should strive to achieve in homeland security. The National Homeland Security Priorities are:

- Implement the National Incident Management System and National Response Framework
- Implement the National Infrastructure Protection Plan
- Expand Regional Collaboration
- Strengthen Information Sharing and Collaboration Capabilities
- Strengthen CBRNE Detection, Response and Decontamination Capabilities
- Strengthen Interoperable and Operable Communications Capabilities
- Strengthen Planning and Citizen Preparedness
- Strengthen Medical Surge and Mass Prophylaxis Capabilities

4.3 The Core Capabilities

In September 2011, DHS released the new National Preparedness Goal. At the center of the new Goal is the Core Capabilities. The Core Capabilities is a list of 31 capabilities necessary to

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address a wide range of hazards based on the results of a national risk assessment conducted by DHS. The Core Capabilities serve as the successor to the Target Capabilities List. A Core Capability to Target Capability Crosswalk is set forth in Appendix A. A breakdown of the Core Capabilities by mission area is set forth in Table 1 below.

Table 1: Core Capabilities by Mission Area

Common				
Planning				
Public Information and Warning				
Operational Coordination				
Prevention	Protection	Mitigation	Response	Recovery
Forensics and Attribution	Access Control and Identity Verification	Community Resilience	Critical Transportation	Economic Recovery
Intelligence and Information Sharing	Cyber Security	Long-term Vulnerability Reduction	Environmental Response/Health and Safety	Health and Social Services
Interdiction and Disruption	Intelligence and Information Sharing	Risk and Disaster Resilience Assessment	Fatality Management Services	Housing
Screening, Search, and Detection	Interdiction and Disruption	Threats and Hazard Identification	Infrastructure Systems	Infrastructure Systems
	Physical Protective Measures		Mass Care Services	
	Risk Management for Protection Programs and Activities		Mass Search and Rescue Operations	
	Screening, Search, and Detection		On-scene Security and Protection	
	Supply Chain Integrity and Security		Operational Communications	
			Public and Private Services and Resources	
			Public Health and Medical Services	
		Situational Assessment		

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4.4 Public Health And Medical Capabilities

Unlike the Target Capabilities, which included seven distinct medical and health related capabilities, the new Core Capabilities has one all-inclusive Public Health and Medical Services capability under the response mission area. However, in 2011, the Centers for Disease Control and Prevention (CDC) released the *Public Health Preparedness Capabilities, National Standards for State and Local Planning*. This document outlines a series of capabilities (15 in total) intended to “assist state and local planners in identifying gaps in preparedness, determining the specific jurisdictional priorities, and developing plans for building and sustaining capabilities.”⁵

Many of the CDC’s public health and medical related capabilities link directly to the Target Capabilities List medical and health capabilities, which the Bay Area had built most of its medical and health related objectives around. As such, for those CDC capabilities that have such a link, the Bay Area will use those CDC capabilities to develop specific medical and health related objectives in the *Strategy*. This will ensure consistency between the broader homeland security efforts in the region and the specific medical and health programs the Bay Area’s public health and medical stakeholders are engaged in with the CDC.⁶ Moreover, all of the efforts undertaken to enhance these medical and health capabilities can be “rolled-up” under the single Public Health and Medical Services Core Capability for reporting purposes to DHS.

A breakdown of the CDC’s public health capabilities applicable to the *Strategy* are listed in Table 2.

Table 2: CDC Capabilities and Target Capabilities Crosswalk

CDC Capability	Target Capability
Public Health Laboratory Testing	Laboratory Testing
Public Health Surveillance and Epidemiological Investigation	Epidemiological Surveillance and Investigation
Medical Surge	Medical Surge
Medical Counter Measures Dispensing	Mass Prophylaxis
Medical Material Management and Distribution	Medical Supplies Management and Distribution
Non-Pharmaceutical Interventions	Isolation and Quarantine

⁵ Centers for Disease Control and Prevention, *Public Health Preparedness Capabilities, National Standards for State and Local Planning* (2011), page 2.

⁶ The Emergency Triage and Pre-hospital Treatment Target Capability is primarily focused on the emergency medical services community. As such, it is not directly accounted for in the CDC capabilities. However, the Bay Area will continue to use Emergency Triage and Pre-hospital Treatment in the *Strategy* as part of its medical and health objectives. Also, the Core Capabilities has Fatality Management Services distinct from the Public Health and Medical Services. However, the Bay Area has included Fatality Management under the medical and health goal in the *Strategy* and will continue to do so.

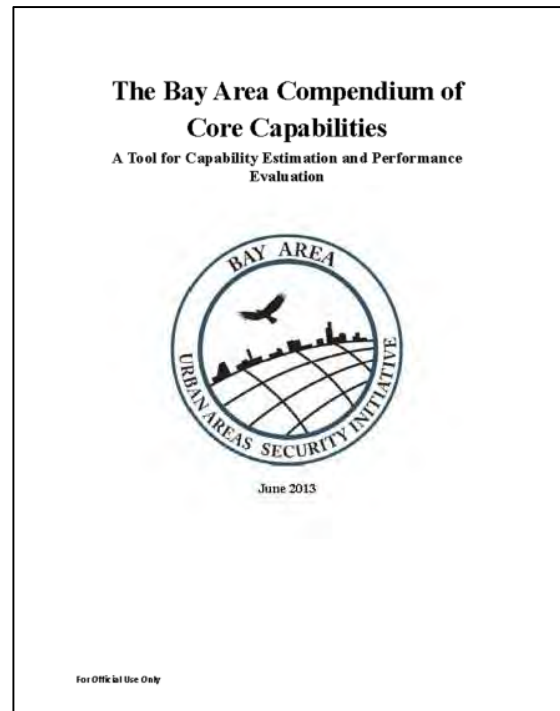
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4.5 The Bay Area Compendium of Core Capabilities

In June 2013, the Bay Area developed the first in the nation comprehensive set of capability measures and metrics for all 31 Core Capabilities.⁷ The region developed the *Bay Area Compendium of Core Capabilities* for the specific purpose of having a consistent set of locally tailored preparedness measures and metrics that individual jurisdictions in the region can use to assess capabilities within the context of mutual aid. The need for these locally tailored measures and metrics was due to the fact that the federally developed capability targets in the *National Preparedness Goal* were too broad and generic for local assessment purposes.

The region will aggregate individual jurisdictional assessments and conduct a regional assessment to inform an overall regional picture of preparedness. Gaps and strengths identified through the assessment process will then be used to update *Strategy* goals and objectives. In addition to informing preparedness levels to update the *Strategy*, the Compendium will allow Bay Area jurisdictions and the region to:

- Have a consistent framework to assess capabilities and show trends in preparedness and performance at the local and regional level over time.
- Use the picture of preparedness and investments to help demonstrate the effectiveness of the UASI program to policy makers.
- Draw from the performance measures to set exercise performance targets and related critical tasks in order to evaluate the agencies and jurisdictions participating in an exercise.



⁷ For the CDC public health and medical capabilities, all measures and metrics are rolled-up under the single Public Health and Medical Core Capability. This was done to ensure that the Bay Area Compendium remains consistent with the DHS/FEMA Core Capabilities taxonomy. However, the *Strategy*'s medical and health objectives are broken out aligned with the CDC public health and medical capabilities.

SECTION 5

RISK OVERVIEW

5.1 Introduction

A core element of Bay Area strategic planning is utilizing risk data and risk management principles to guide planning and investments. In 2013, the Bay Area updated its risk assessment data concerning terrorism and natural hazards, the results of which are summarized here. As risk is a dynamic attribute and can shift over time, the 2013 follow-up analysis builds upon the solid baseline established in 2009, and followed-up on in each successive year, and will need to be updated again in the future.

The purpose of this section is to highlight and summarize the key findings from the 2013 risk validation analysis as outlined in the Risk Analysis Center as of August 2013. This section begins by providing details regarding the risk methodology utilized for completing the risk analysis. Although the 2013 risk analysis focused primarily on terrorism risk, the Bay Area also considered risks posed by natural hazards. In terms of terrorism events, the 2013 analysis considered sixteen terrorism (and nine natural hazard) scenarios that could potentially impact the region. The analysis goes on to determine which of those scenarios posed the greatest relative risk to the region. The focus then moves to defining the public and private sector critical assets for risk analysis and then to analyzing asset risk by each of the critical infrastructure and key resources (CIKR) sectors across the entire region as defined by the National Infrastructure Protection Plan (NIPP).

5.2 Risk Methodology

A terrorism event is defined under federal law as the “...unlawful use of force and violence against persons or property to intimidate or coerce a government, the civilian population, or any segment thereof, in furtherance of political or social objectives.⁸” A natural event causes a hazard when it harms people or property. Such natural events may include floods, earthquakes, tornadoes, tsunamis, coastal storms, landslides, and wildfires that strike populated areas.

Risk, then, is the expected negative impact of an adverse incident (whether the result of terrorism or a natural hazard) on an asset, considering both its likelihood and the magnitude of its impact. Risk can be expressed as a number or value in order to make comparisons, and is calculated as a function of threat, vulnerability, and consequence: **Risk = Threat x Vulnerability x Consequence.**

- **Threat:** The likelihood of the occurrence of an incident, including those that are caused by nature (e.g., floods, windstorms, earthquakes) and those that are human-caused (e.g.,

⁸ 28 C.F.R. Section 0.85

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acts of terrorism and industrial accidents). *Likelihood* refers to the estimate of the potential of an incident or incident's occurrence as compared to other scenarios in a particular region and takes into account adversarial intent and capabilities.

- **Vulnerability:** Likelihood of the asset⁹ succumbing to a terrorist attack or natural hazard. Vulnerability is a function of an asset's recognizability, resilience, and countermeasures effectiveness, such as gates, cameras, guards, etc. The higher the asset's vulnerability the greater the chance a terrorist attack will succeed or a natural hazard will cause damage to that asset. For example, a building with no gate or wall is more vulnerable to a vehicle borne improvised explosive device (more likely to succumb to the attack) than the same building is with a reinforced gate or concrete wall designed to block vehicular traffic.
- **Consequence:** Consequences of an attack can impact one or all of the following areas:
 - **Human:** The adverse impact of an incident on human health as measured by the number of fatalities and injuries the incident causes, as well as by the resulting long-term health effects.
 - **Economic:** The harm caused by an incident as measured by short-term costs of repair efforts, as well as by the long-term impact of an incident on the economic activity of the asset attacked.
 - **Mission:** The severity of the impairment of the asset that an incident inflicts. Mission interruption includes the degree of interruption, geographic scope, and mission criticality.
 - **Psychological:** The adverse impact of an incident on the morale and confidence of the population. Such adverse impacts may include a reduced sense of general well-being, concerns about personal security, and reduced confidence in the government and the economy.

Multiple kinds of risk exist, and driving the Bay Area's risk profile are the characteristics of the assets and population in the area. Further, an area may have a higher risk of one type but not necessarily of others. The Bay Area currently looks at risk in four broad categories:

- Terrorism Risk to People
- Terrorism Risk to Assets
- Natural Hazard Risk to People
- Natural Hazard Risk to Assets

Population risk takes into account not only how many people are present in a given area but also how those people are distributed within a jurisdiction or region (local population density). Population risk calculations consider residents, commuters, and international visitors in a given area. While asset risk looks at the risk to the area from attacks on or incidents involving an area's critical infrastructure, population risk gives an overview of risk to the major population-at-large.

⁹ An asset is a piece of infrastructure such as a bridge, building, power plant, etc. An asset can also include cyber infrastructure such as networks and software.

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5.3 Description of Threats and Hazards

The following is a summary of the sixteen terrorism and nine natural hazard scenarios used to help determine the Bay Area’s risk profile. The terrorism scenarios are based, in part, upon actual terrorist methods used in attacks around the world such as improvised explosive devices and conventional assaults. While several of the attack scenarios listed have never been used by terrorists, e.g., an improvised nuclear device against a major U.S. city, the intent to acquire and use such weapons and tactics has been clearly articulated by certain terrorist groups.

Table 3: Terrorism Scenarios

Scenario	Description
Agro-terrorism	An attack on the agriculture/food supply chain. Largely designed to inflict economic damage.
Aircraft as a Weapon	The aircraft as a weapon scenario consists of attackers using an airplane to inflict a direct impact on a target. Damage to the asset is a result of the initial explosion of the airplane’s fuel supply, as well as secondary events like fires or building collapses. Catastrophic attacks involving commercial airplanes occurred on September 11, 2001 involving financial and military targets in New York, Virginia, and Pennsylvania. A far less severe attack involving general aviation occurred on February 18, 2010 when a man flew a small plane into an IRS building in Austin, Texas.
Arson/Incendiary Attack	Arson or incendiary attacks have been used widely throughout history by terrorist groups and criminals. Attacks vary widely in scope and intensity, from the use of one small incendiary device like a Molotov cocktail to setting a fire from multiple ignition points on one site using highly flammable fuel. In 2008, the Earth Liberation Front burned down a housing development in Woodinville, Washington. The Provisional Irish Republican Army made extensive use of Molotov cocktails in its fight against British control of Ireland.
Biological Attack (Contagious)	Use of a biological agent that can be spread from human to human and results in negative health effects. This includes the intentional release of communicable infectious diseases such as pandemic flu and Bubonic Plague.
Biological Attack (Non-contagious)	Use of a biological agent that cannot be directly spread from human to human but results in negative health effects. Non-contagious biological attacks typically require direct contact or inhalation with a biological strain — for example, the 2001 Anthrax attacks, which killed five people.
Chemical Attack	A chemical release on a population using toxic and corrosive chemicals that generate poisonous gases, liquids, and other hazardous substance. Chemical attacks include the release of a nerve agent, blister agent, or industrial chemicals used against an asset’s population. Scenario includes aerosol or other distribution of mustard gas, arsenic, mercury, Sarin, or other similar substances. This also considers the use of explosives against chlorine tanks.
Conventional Attack	Conventional attacks include attacks executed with weapons that are not weapons of mass destruction. This can include grenades, bombs, mines, missiles, small firearms, and large-caliber artillery systems. One of the most notable conventional attacks in recent history occurred in 2008 in Mumbai, India, where terrorists affiliated with Islamist group Lashkar-e-Taiba attacked multiple public sites with bombs and guns.
Cyber Attack	Computer-based attack aimed to disrupt the function of an asset or obtain sensitive information from the asset’s computer systems. Attacks may involve service disruption or manipulation using destructive worms and viruses, Denial of Service exploits, and intrusions. Actors either inside or outside of the asset’s organization could carry out acts of sabotage.
Food and Water Contamination	Poisoning or otherwise tampering with a food/water distribution point in such a way that causes harmful health effects. Poisoning may include the use of bacteria, viruses,

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Scenario	Description
	and heavy metals. Attacks at a distribution point may spread among the population.
Hostage Taking/Assassination	Attack in which terrorists enter an asset and hold captives; also any attack targeting and killing key officials or significant persons who are present at a site.
Improvised Explosive Device (IED)	IEDs are bombs that are not of standard military construction, but may utilize components that are. Constructed using any type of explosive material, fuse, detonator, and container, they can also include biological, chemical, or other contaminants. IEDs have been used widely by terrorist groups; recent examples include use by the Taliban in Afghanistan against Coalition and Afghan forces and by the Liberation Tigers of Tamil Elam against the Sri Lankan government, most often via suicide bombers.
Maritime Attack	Use of a sea vessel to deliver explosives against a target, such as another ship or port asset directly adjacent to a waterway. In 2000, 17 military personnel were killed when such an attack targeted the USS Cole.
Nuclear Device	A nuclear device scenario involves the detonation of a weapon assembled using highly enriched uranium, most likely stolen or purchased from an unstable nuclear or former nuclear state. A device could be assembled near an UA and transported via vehicle to a densely-populated location for detonation. Such an attack has yet to occur; however, overwhelming casualties within 12 miles can be expected, with decreasing casualty rates extending over a 150-mile radius. Long-term environmental and health effects can be expected, as well as damage exceeding \$100 billion.
Radiological Dispersion Device (RDD)	An attack, also called a “dirty bomb,” combining radioactive materials and conventional explosives. The explosives cause damage and casualties within the blast radius and spread radiation over a larger area. Though a potentially large number of people could be exposed, the radiation levels are unlikely to cause significant deaths. However, a radiation attack would have considerable psychological effects on the public.
Sabotage/Theft	Sabotage encompasses any act intended to prevent an asset from engaging in its mission. It can affect any sector and any level of an asset, and it may be carried out by any actor to include disgruntled employees or terrorists. Sabotage is often classified solely or simultaneously as one or more other crimes, such as arson. An unidentified individual injected a glue-like substance into a remote shutdown panel at a nuclear power plant in St Lucie, Florida, in 1996. In 2006, the Salafist Group for Call and Combat vandalized and set fire to an Algerian cement plant and company vehicles.
Vehicle Borne Improvised Explosive Devices (VBIED)	VBIEDs are IEDs delivered via vehicles. A large sedan can yield up to 1,000 pounds (lbs.) of explosives in the trunk alone; a small box truck can yield over 10,000 lbs. By comparison, the truck used in the Oklahoma City bombing was carrying 4800 lbs. of explosives. This method of attack is historically common and still used by groups such as al Qaeda, which describes the attack in detail in its training manual.

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Table 4: Natural Hazard Scenarios

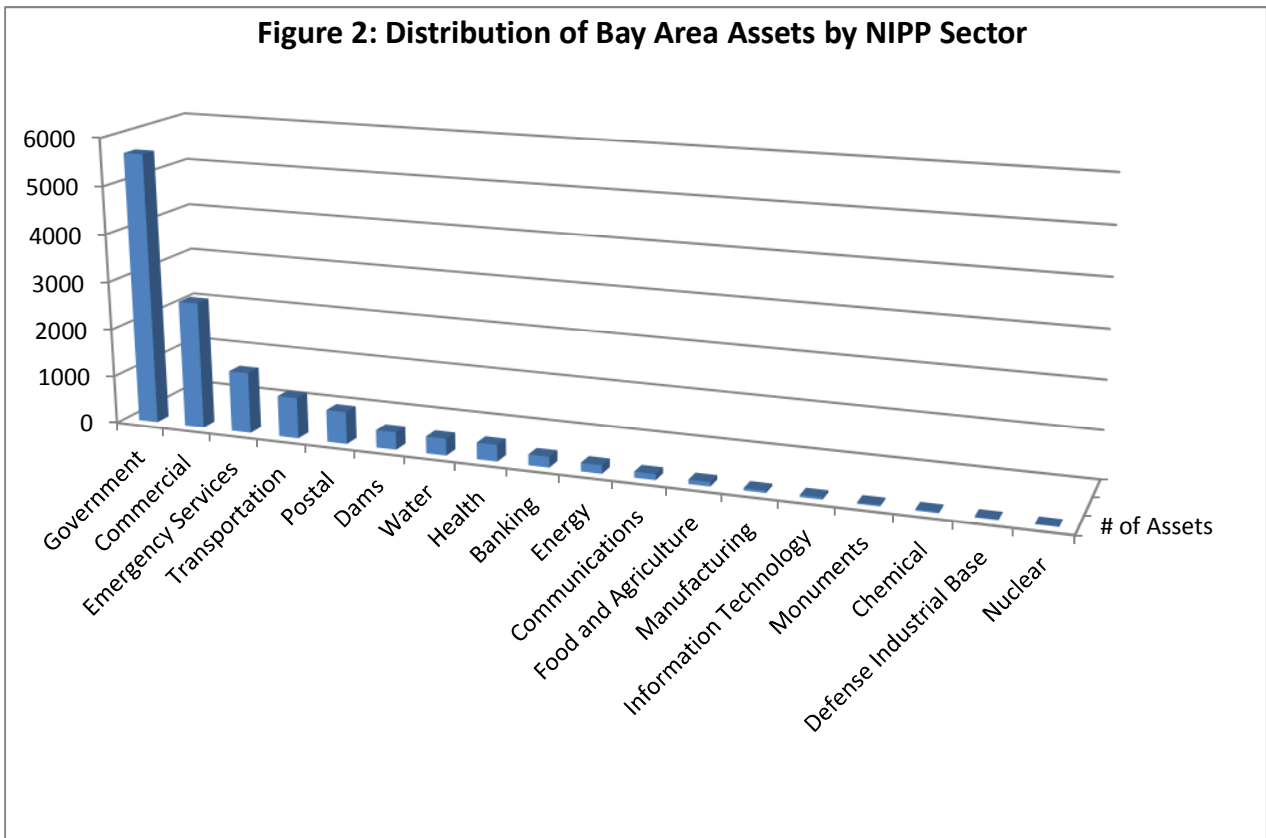
Scenario	Description
Floods	Floods, according to FEMA, are one of the most common hazards in the United States. Flood effects can be local, impacting a neighborhood or community, or very large, affecting entire river basins and multiple states. However, all floods are not alike. Some floods develop slowly, sometimes over a period of days. But flash floods can develop quickly, sometimes in just a few minutes and without any visible signs of rain. Flash floods often have a dangerous wall of roaring water that carries rocks, mud, and other debris and can sweep away most things in its path. Overland flooding occurs outside a defined river or stream, such as when a levee is breached, but still can be destructive. Flooding can also occur when a dam or levee breaks, producing effects similar to flash floods.
Earthquake	An earthquake is ground shaking caused by a sudden movement of rock in the Earth's crust. Such movements occur along faults, which are thin zones of crushed rock separating blocks of crust. When one block suddenly slips and moves relative to the other along a fault, the energy released creates vibrations called seismic waves that radiate up through the crust to the Earth's surface, causing the ground to shake. Earthquakes may last only a few seconds or may continue for up to several minutes. They can occur at any time of the day or night and at any time of the year. They are caused by stress that builds up over time as blocks of crust attempt to move but are held in place by friction along a fault. (The Earth's crust is divided into large plates that continually move over, under, alongside, or apart from one another atop the partly molten outer layer of the Earth's core.) When the pressure to move becomes stronger than the friction holding them together, adjoining blocks of crust can suddenly slip, rupturing the fault and creating an earthquake.
Wildfires	A wildfire in California may involve a fire burning uncontrolled on lands covered wholly or in part by timber, brush, grass, grain, or other flammable vegetation. It may also include any fire, controlled or uncontrolled, including a campfire, burning outside of any structure, mobile home, or living accommodation mounted on a motor vehicle. California has been extremely susceptible to such fires over the years with some of the largest wildfires in the U.S. occurring in the State.
Severe Winds	Severe winds occurring as a result of thunderstorms can be a threat to both life and property. For example, according to the National Weather Service, extreme winds, those damaging wind gusts of 58 mph or greater, within 12 miles of a location, pose an extreme likelihood (36% or greater) of causing minor to major damage in the worst situations.
Tornado	A tornado is a violent, dangerous, rotating column of air that is in contact with both the surface of the earth and a funnel shaped cumulonimbus cloud ranging in width from a few yards to more than a mile and whirling at destructively high speeds, ranging from 100 to as high as 300 miles per hour.
Hail	A hailstorm is a storm of spherical balls of ice. Hail is a product of thunderstorms or intense showers. It is generally white and translucent, consisting of liquid or snow particles encased with layers of ice. Hail can cause serious damage to cars, aircraft, skylights, glass-roofed structures, livestock and crops, etc.
Pandemic	A naturally occurring disease outbreak can cause illness and result in significant casualties. Since 1900, there have been three influenza pandemics that killed approximately 600,000 people in the United States. The 2009 H1N1 flu, first identified in Imperial and San Diego counties, killed more than 550 Californians, sent thousands more to hospitals, caused widespread fear and anxiety and the declaration of a public health emergency.

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5.4 Critical Infrastructure and Key Resources

For the 2013 update, the Northern California Regional Intelligence Center (NCRIC) compiled a list of approximately 13,000 critical infrastructure and key resource assets in the entire Bay Area that cover all 18 *National Infrastructure Protection Plan* (NIPP) sectors. This is an increase of over 4,500 assets from 2012 and reflects the region's growing cataloging and understanding of CIKR within its area. A breakdown of those critical assets by sector is set forth in Figure 2 below. The sector with the largest number of assets is the government sector with over 5,600 assets and the sector with the fewest number of assets is nuclear with just six assets.

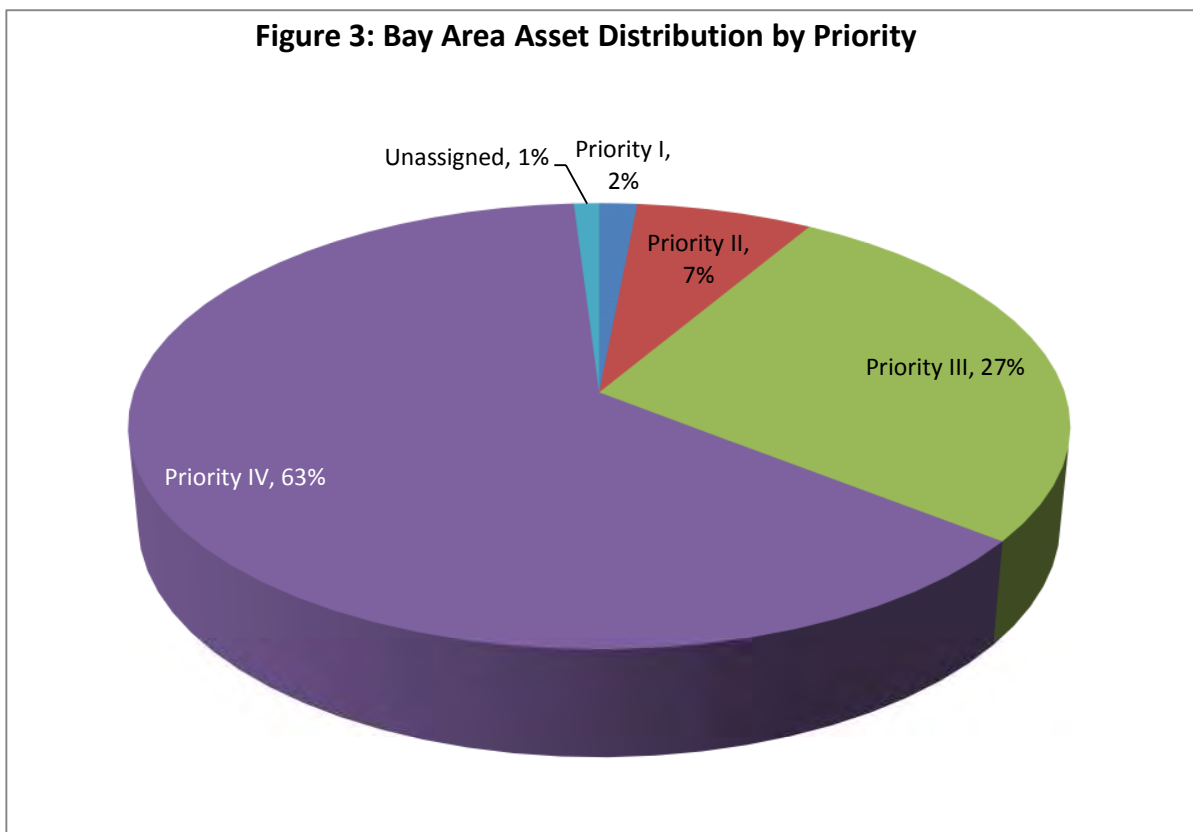
Figure 2: Distribution of Bay Area Assets by NIPP Sector



The Bay Area's assets include

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The region has further refined its assets into four priority levels (Level I being the highest and Level IV being the lowest priority) with the vast majority of the assets (over 8,100) falling into priority level IV. Only 2% of the total assets fall under Level I which is consistent with the data from 2012. However, 2012 saw a decrease in the percentage of assets that fall under Level IV (74% to 63%) and a corresponding increase in the percentage of assets that fall under Levels II and III (20% to 27% and 3% to 7% respectively). Such a breakdown reflects the region’s goal of accounting for as many assets as possible while recognizing that a small subset of those assets, if attacked or otherwise incapacitated, could have a devastating impact on the region. Figure 3 summarizes the distribution of assets across all four levels plus a category for assets without an assigned level.



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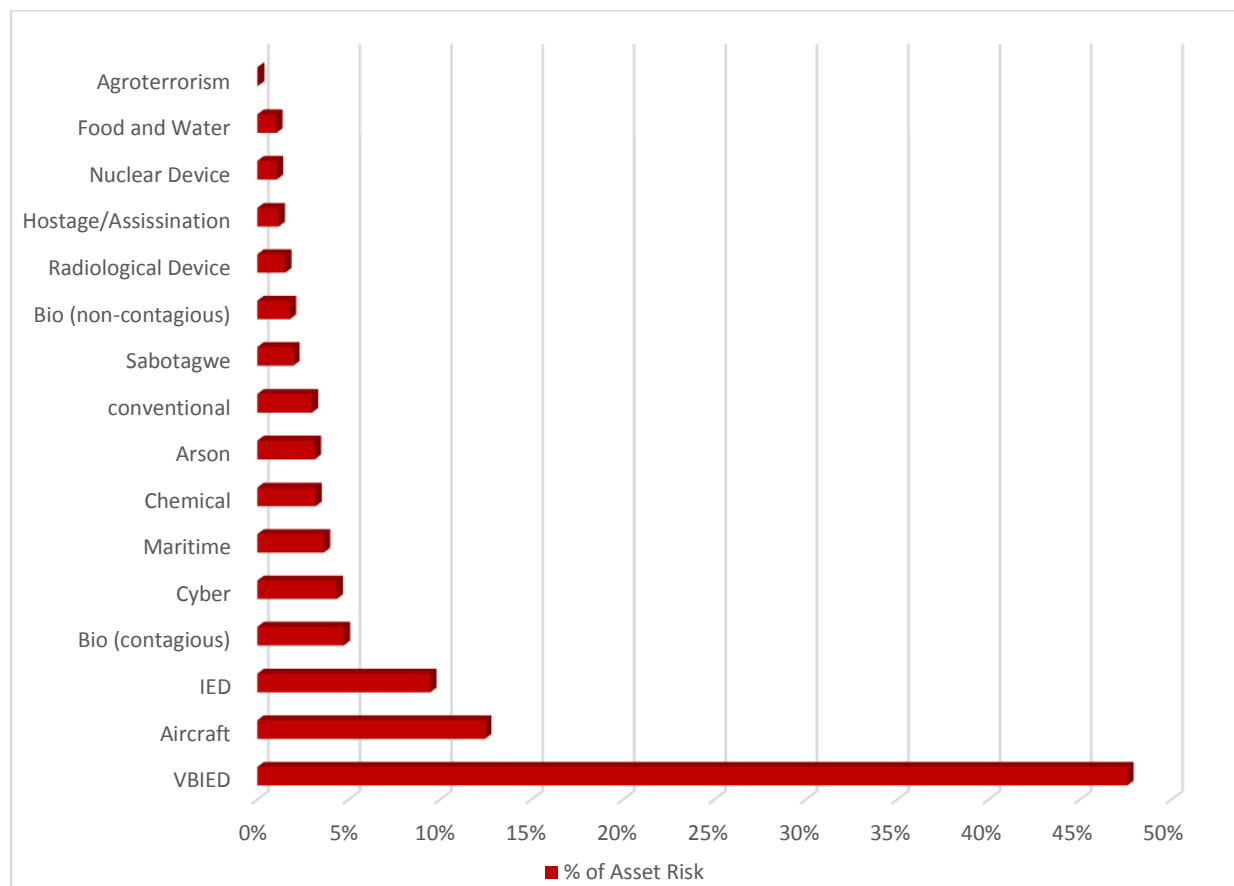
5.5 Risk Profile

The focus of the analysis was on terrorism scenarios and overall terrorism risk to the region's CIKR. However, an analysis was also done concerning natural hazards such as earthquakes, floods and wildfires, etc. This is based on the fact that while natural hazard risk plays a role in how the Bay Area will set its strategic goals and objectives, that role is contingent on a link to terrorism preparedness. Thus, the Bay Area's focus is on building capabilities that have a primary nexus to terrorism while recognizing that such capabilities may also have a "dual" purpose of enhancing all hazards preparedness. This concept of "dual use" has been recognized and encouraged by DHS for many years when developing strategies and investments.

5.5.1 Terrorism Risk

In analyzing the risk of certain attacks against the region's CIKR, the VBIED attack scenario continues to stand out as in years past and as outlined in Figure 4 below. The top four scenarios for the Bay Area region included the vehicle borne improvised explosive device (VBIED) attack, the aircraft as a weapon attack scenario, a conventional IED attack, contagious biological attack and a cyber-attack rounding out the top five.

Figure 4: Bay Area Terrorism Scenario Risk Profile



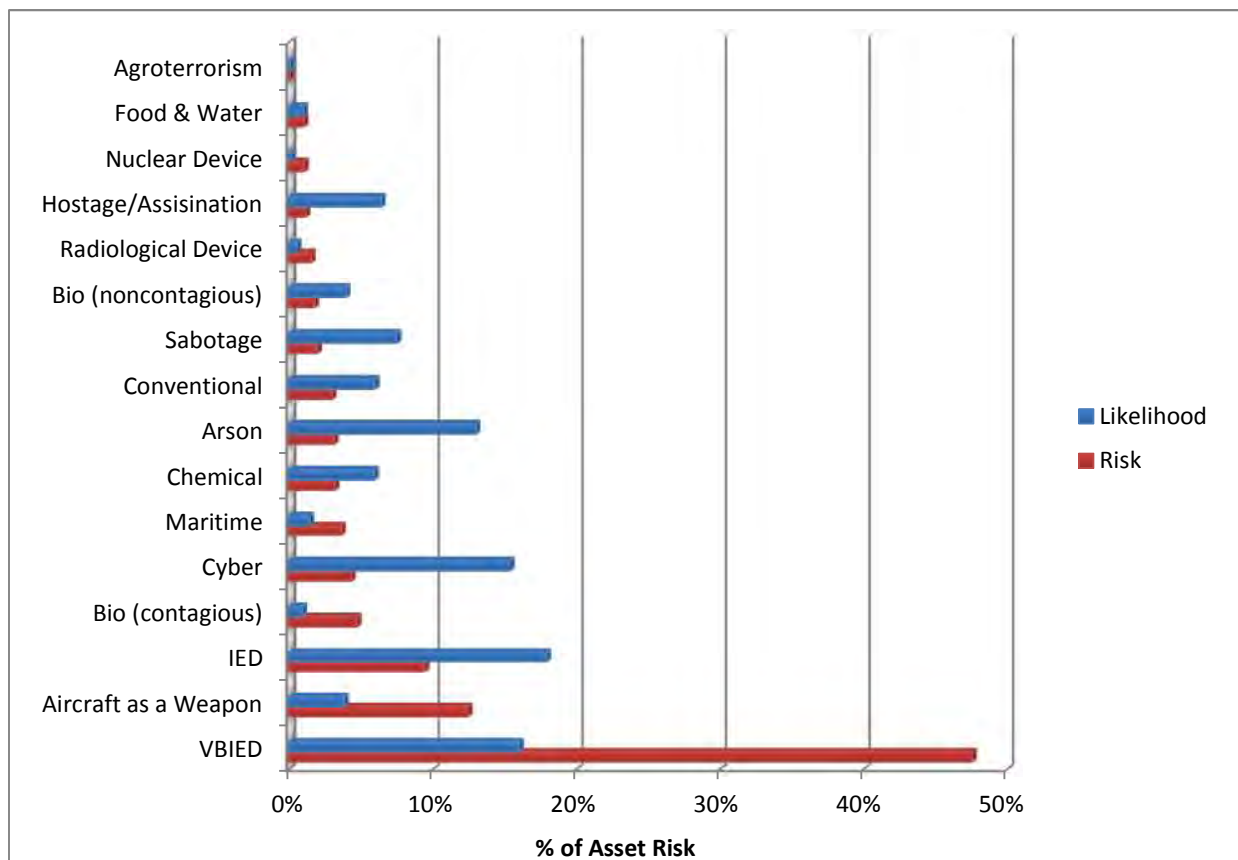
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When compared to a threat/likelihood only analysis, i.e., those terrorism scenarios that are the most likely to occur in the Bay Area, the ranking of terrorism scenarios does change for the region. As outlined in Table 5 below, eight out of the sixteen scenarios have a greater likelihood of occurring than they pose an overall risk to the region, while six scenarios pose a greater risk to the region than they are likely to actually occur. Under a likelihood analysis, the top five scenarios in rank order are:

- IED
- VBIED
- Cyber-attack
- Arson
- Sabotage

The top five most likely scenarios for 2013 are consistent with those from 2012. Excluded from this list of the top five most likely scenarios for 2013 are the aircraft as a weapon and contagious biological attack scenarios each of which is in the top five for overall risk, but which have considerably lower likelihood scores than risk scores. This means that while the two scenarios are not likely to occur, in the event they did occur, the region’s vulnerability to such attack methods would result in high human, economic and psychological consequences. Figure 5 summarizes risk versus likelihood for all sixteen terrorism scenarios.

Figure 5: Bay Area Terrorism Risk vs. Likelihood

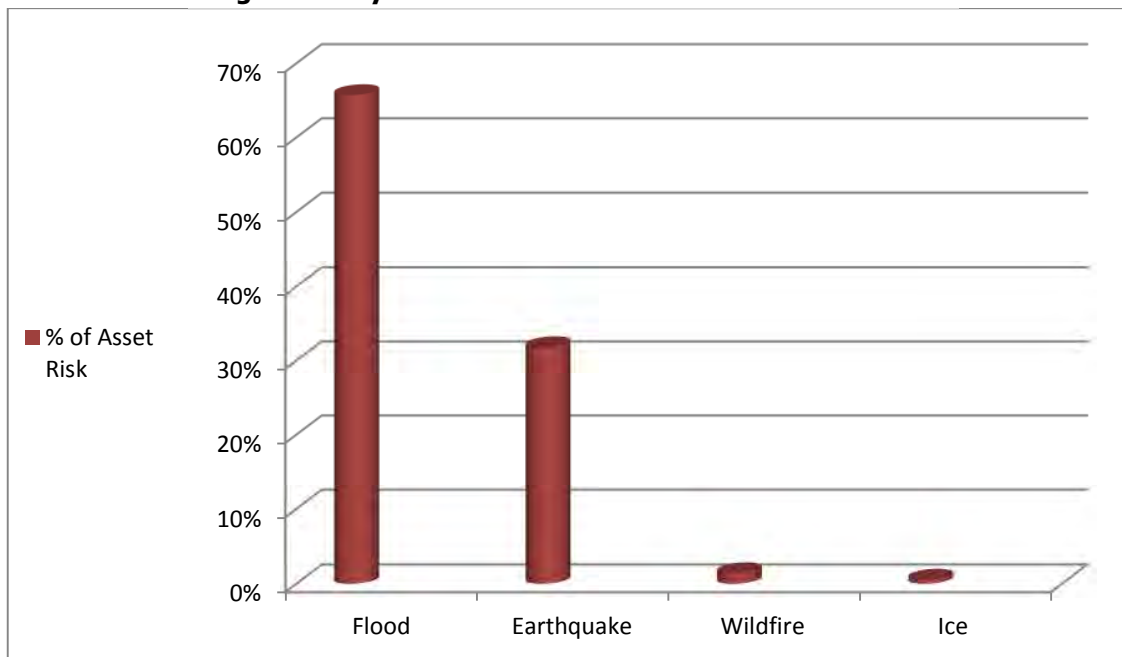


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5.5.2 Natural Hazards Risk

The Bay Area's CIKR also face significant risk from natural hazards; in particular floods and earthquakes. As outlined in Figure 6 below, floods pose the greatest risk to the Bay Area's CIKR based upon their frequency, the region's vulnerability to such an event and the consequences of major flooding in terms of lives and property.

Figure 6: Bay Area Natural Hazard Scenario Risk Profile



The reason flooding ranks so high in total risk is the very high frequency (likelihood) with which the hazard occurs as compared to an earthquake which is less frequent or likely, but has the potential to cause far more damage to critical infrastructure. The Bay Area rests upon one of the longest and most active earthquake fault systems in the world. This system includes the San Andreas Fault, the Hayward Fault and the Calaveras Fault. The U.S. Geological Survey estimates an 80% chance of a magnitude 6.7 or greater quake striking the Bay Area within the next 30 years.

Based on the Bay Area's topography, the risk from wild land fires is also a reality. Four wildfires in California have burned at least 200,000 acres since 2007. Though evacuations help limit casualties, significant economic loss can still occur.

5.5.3 Threat Hazard Identification and Risk Assessment (THIRA)

Among the various threats and hazards the region has identified, five scenarios have been chosen for the regional THIRA process. From the terrorism scenarios they are a VBIED and cyber attack, from the natural hazard scenarios they are fire and an earthquake, and among technical hazards the region has chosen a major oil spill. These scenarios will provide the region with a

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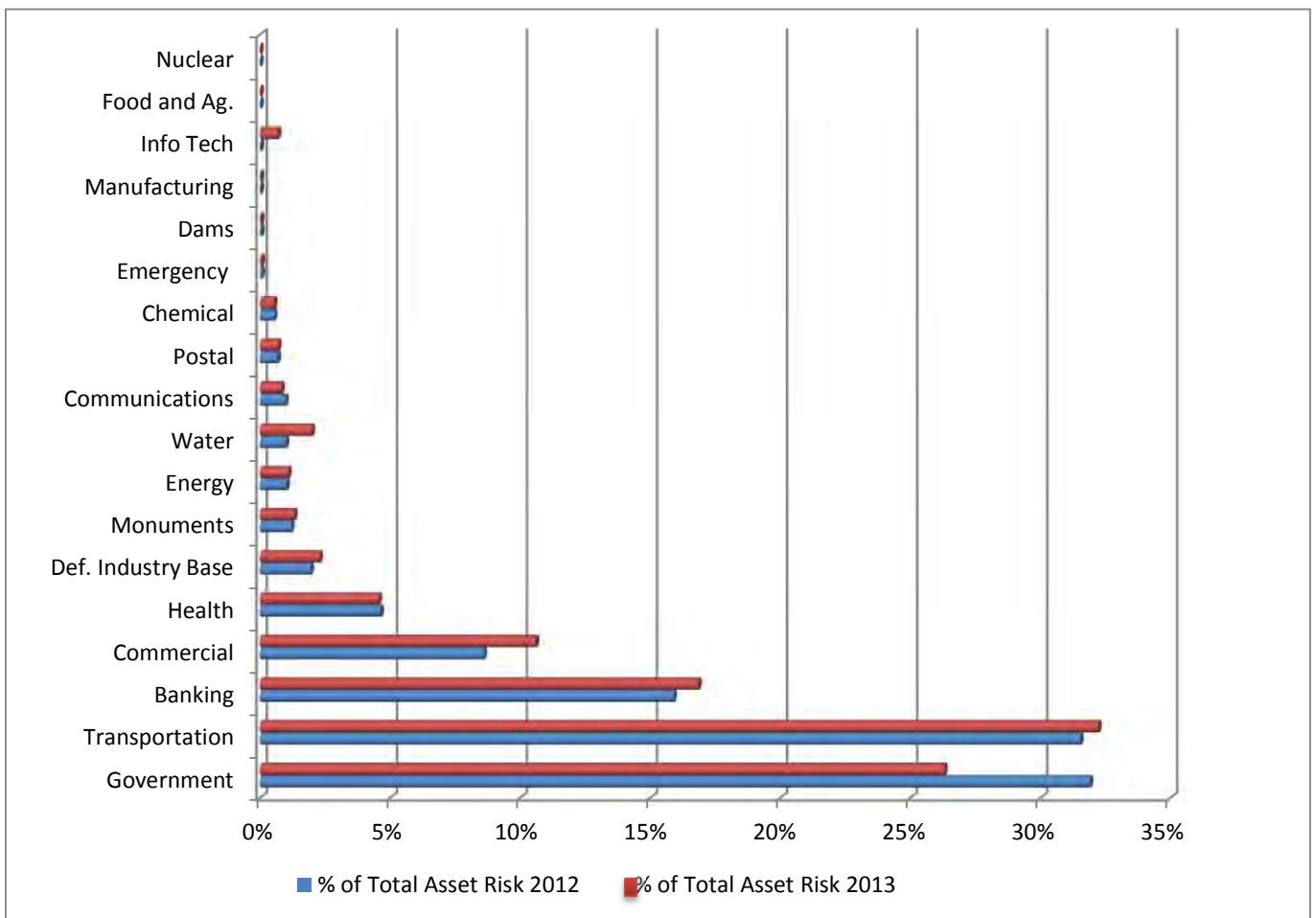
further basis for planning and investing in the near future and may be added to or otherwise amended going forward.

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5.6 Asset Risk by Sector

For 2013, the commercial, banking and transportation sectors saw a shift upward in their risk profile. This was due in large part to the more detailed information and assessment results that have been produced for commercial and other assets in the region and the growing sophistication of the region's risk data. This also resulted in a decrease in the percentage of total risk attributed to the government sector as compared to 2012.

Figure 7: Bay Area Distribution of Terrorism Risk by Sector



An overarching theme from the Bay Area's risk analysis process is that simply because a sector may be at high or low risk from a particular attack scenario or multiple attack scenarios, each individual asset within each sector may have a risk profile vastly different from the sector at large. This requires regional planners, asset owners and operators, and the agencies responsible for prevention, protection, mitigation, response and recovery activities to evaluate risk data both individually by site and by attack scenario in order to make more precise security investment decisions on specific assets and sectors.

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While much of the Bay Area’s infrastructure is found in the commercial, government and emergency services sectors, as outlined in Table 5 below, the terrorism asset risk in the Bay Area does not follow the sectors with the largest number of assets. This is most prevalent in the emergency services sector where the sector ranks 3rd in total number of assets (up from 4th in 2012) and yet ranks 14th in total risk. The cause of this type of discrepancy is the nature and type of assets in each sector. A small group of assets or even a single asset can have very high risk due to the likelihood of an attack, the vulnerability to attack and the human, economic, mission and psychological consequences resulting from an attack. When it comes to risk, “quality” very much outweighs “quantity.”

Table 5: Bay Area CIKR Sector Rankings

Rank	Sectors Ranked by Total Assets	Sectors Ranked by Terrorism Risk
1	Government	Transportation
2	Commercial	Government
3	Emergency Services	Banking
4	Transportation	Commercial
5	Postal	Health
6	Dams	Defense Industrial Base
7	Water	Water
8	Health	Monuments
9	Banking	Energy
10	Energy	Communications
11	Communications	Postal
12	Food and Agriculture	Information Technology
13	Manufacturing	Chemical
14	Information Technology	Emergency Services
15	Monuments	Dams
16	Chemical	Manufacturing
17	Defense Industrial Base	Food and Agriculture
18	Nuclear	Nuclear

The current list of approximately 13,000 assets represents a major change from 2012 when the region accounted for approximately 8,500 assets. Thus, the Bay Area’s asset list is by no means static and will certainly change as the quality of information available to the region continues to improve. For now, the current list reflects a broad representation across multiple CIKR sectors that local subject matter expertise, using best available methods, deem appropriate.

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5.7 Capabilities Assessment

Once the 2013 risk assessment was complete, the Bay Area analyzed the relevance of the 31 Core Capabilities based on the region’s risk profile. Capability relevance is defined as those capabilities most needed in order to prevent, protect against, mitigate, respond to or recover from threats and acts of terrorism that pose the greatest risk to the region’s CIKR. Some of the 31 Core Capabilities are relevant to many different types of hazards affecting the spectrum of CIKR sectors, while others link closely to a few discrete scenarios.

Upon completing the risk relevance analysis, the Bay Area engaged in a two-step capabilities assessment process using the *Bay Area Compendium of Core Capabilities*. The first step involved counties and major cities conducting a local capabilities self-assessment. This was followed by a region-wide self-assessment covering all 31 of the Core Capabilities. For each assessment, capability levels were organized into five areas or answers that determined level of ability: Yes/Complete Success, Substantial Progress, Limited Progress, No Progress and Not Applicable.

Table 6: Capability Assessment Levels of Ability

Yes/Complete Success	The jurisdiction can or does fulfill all elements of the measure/metric with complete (or near complete) success. This can be documented or has been illustrated through real-world experience or multiple exercises.
Substantial Progress	The jurisdiction meets substantial elements of the measure/metric and has a specific plan in place to meet the rest. The jurisdiction does or can likely fulfill the measure/metric with some success, if required.
Limited Progress	The jurisdiction has either part of a plan or equipment in place to fulfill the measure/metric or has individuals/positions identified that have responsibility over the measure/metric, but considerable effort is still required. The jurisdiction does or can fulfill the measure/metric with partial success; it does not or cannot fulfill the measure/metric with much success.
No Progress	The jurisdiction has made no or very little progress toward the measure/metric. The jurisdiction does not or cannot currently fulfill the measure/metric.
Not Applicable	The measure/metric is not applicable to the jurisdiction.

The Core Capabilities were then plotted by terrorism risk relevance *and* capability gap depending on each capabilities risk relevance and the size of the gap in the capability. The Core Capabilities with the largest capability gap and highest risk relevance were ranked the highest priority for gap mitigation. The results from the Bay Area’s 2013 Core Capabilities assessment are summarized in Table 7 below.

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Table 7: Capability Assessment Results

Risk and Gap	Core Capability	Risk Relevance	Level of Ability	Gap Analysis
1	Infrastructure Systems	3	25%	Needs Extra Attention
2	Long Term Vulnerability Reduction	6	31%	Needs Attention
3	Physical Protective Measures	7	39%	Needs Attention
4	Public Information and Warning	9	26%	Needs Attention
5	Operational Communications	16	34%	Needs Attention
6	Community Resilience	1	69%	Needs Attention
7	Intelligence and Information Sharing	4	55%	Needs Attention
8	Planning	8	58%	Needs Attention
9	Situational Assessment	12	57%	Needs Attention
10	Screening, Search and Detection	14	68%	Needs Attention
11	Forensics and Attribution	2	79%	Sustain
12	Interdiction and Disruption	5	70%	Sustain
13	Risk and Disaster Resilience Assessment	10	90%	Sustain
14	Risk Management for Protection Programs	11	82%	Sustain
15	Threats and Hazard Identification	13	84%	Sustain
16	Operational Coordination	15	80%	Sustain
17	Access Control and Identity Verification	18	34%	Needs Attention
18	Critical Transportation	21	27%	Needs Attention
19	Cyber Security	20	33%	Needs Attention
20	Natural and Cultural Resources	28	30%	Sustain
21	Public Health and Medical	19	67%	Sustain
22	Fatality Management	21	61%	Sustain
23	Mass Search and Rescue	23	69%	Sustain
24	On-Scene Security and Protection	18	85%	Sustain
25	Supply Chain Integrity	26	25%	Sustain
26	Health and Social Services	25	34%	Needs Attention
27	Mass Care	29	42%	Sustain
28	Housing	31	38%	Sustain
29	Environmental Response/Health and Safety	24	82%	Sustain
30	Economic Recovery	27	38%	Sustain
31	Public and Private Services and Resources	30	49%	Sustain

The results of the capabilities assessment were then linked to those hazards that pose the greatest risk to the region, and CIKR sectors in the region at greatest risk from those hazards. The result is the matrix set forth below in Table 8, which provides a blue print for planning and investing in order reduce the risk to the listed CIKR sectors posed by the listed hazards by enhancing or sustaining the listed Core Capabilities.

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Table 8: Hazards, Sectors and Capabilities Matrix

Highest Risk Hazards	Terrorists' Use of Explosives	Earthquake	Floods	Contagious Biological
Sectors at Highest Risk	Transportation	Commercial	Water	Transportation
	Government	Health	Government	Government
	Banking	Government	Transportation	Health
	Commercial	Transportation	Health	Commercial
	Health	Information Technology	Emergency Services	Banking
Most Relevant Capabilities	Planning	Planning	Planning	Planning
	Operational Communications	Operational Communications	Operational Communications	Risk Management for Protection Programs and Activities
	On-Scene Security and Protection	Community Resiliency	Community Resiliency	Intelligence and Information Sharing
	Threat and Hazard Identification	Risk and Disaster Resilience Assessment	Threat and Hazard Identification	Public Health and Medical
	Intelligence and Information Sharing	Intelligence and Information Sharing	Intelligence and Information Sharing	Intelligence Analysis and Production
	Critical Infrastructure Protection	Long Term Vulnerability Reduction	Situational Assessment	Critical Transportation
	Interdiction and Disruption	Operational Coordination	Operational Coordination	Public Information and Warning
	Mass Search and Rescue	Public and Private Services	Public and Private Services	Fatality Management
	Operational Coordination	Volunteer Management and Donations	Critical Transportation	Environmental Response
	Fatality Management	Public and Private Services	Public Information and Warning	Infrastructure Systems
	Public Health and Medical	Critical Transportation	Mass Care	Forensics and Attribution
			Mass Search and Rescue	
	Environmental Response	On-Scene Security and Protection	Fatality Management	Situational Assessment
			Public Health and Medical	
			Economic Recovery	
	Screening, Search and Detection	Fatality Management	Infrastructure Systems	
	Long Term Vulnerability Reduction	Situational Assessment		
	Forensics and Attribution	Mass Care		
	Physical Protective Measures	Mass Search and Rescue		
	Situational Assessment	Infrastructure Systems		
	Risk Management for Protection Programs and Activities	Public Health and Medical		
		Public Information and Warning		

SECTION 6

GOALS, OBJECTIVES & IMPLEMENTATION STEPS

6.1 Overview

The goals and objectives of the *Strategy* serve as the core for what the Bay Area will seek to achieve over the next three years in the mission areas of prevention, protection, mitigation, response and recovery. The goals and objectives represent the culmination of integrating risk and capabilities assessment by establishing specific implementation steps that are designed to achieve or maintain capability outcomes in those capabilities that are most relevant based on the Bay Area's risk and capability profile.

The goals and objectives are directed towards the next three years but may be reviewed and updated annually or as needed. It is likely that some of the objectives will carry over from year to year while others may be removed or updated based on the region's progress and actual needs. The goals and objectives will continue to be defined by risk analysis, identified preparedness gaps and sustainment priorities.

6.2 Organizing the Goals and Objectives

The goals and objectives represent not only the priorities of the region but also the region's implementation of State and National level policy and priorities at the regional level. As such, each goal is based on alignment with the National Homeland Security Priorities (and/or the State of California Homeland Security Strategy priorities) and each objective with a Core Capability or set of Core Capabilities, or a CDC Public Health Preparedness Capability for medical and health related objectives. The purpose of aligning each objective to a capability is to ensure the *Strategy* is designed around managing risk by enhancing capabilities through investments and other activities.

The Core Capabilities and Public Health Preparedness Capabilities were first organized under relevant National Priorities. The National Priorities were then converted, and sometimes merged, into regional goals with the capabilities converted into specific objectives under each goal. Where no equivalent National Priority exists, the Bay Area simply developed its own goal to meet its own local needs. For example, the Bay Area has developed a recovery goal, whereas the federal government has not delineated recovery as a National Priority. In addition, the federal government has listed implementing the NIPP and Strengthening Information Sharing and Collaboration as separate National Priorities. The Bay Area has combined both priorities into a single regional goal designed to enhance information analysis and infrastructure protection.

6.3 Structuring the Goals and Objectives

The goals and objectives are structured around sustaining sufficient levels of ability and closing identified capability gaps. While capabilities from the Core Capabilities Public Health Preparedness Capabilities are listed as their own objective, the objectives, like the capabilities themselves, do not operate in a vacuum. Objectives often are linked to one another with elements

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of one objective sometimes found in another. This is a product of the fact that the capabilities are not isolated from each other. Rather, they overlap one another with elements of one capability present in another or even several others.

Using the capabilities-based planning model as outlined by DHS, each goal and related objective(s) will be implemented through a series of resource elements divided among the elements of capability: plans, organization, equipment, training and exercises (POETE) as defined in Table 9 below.” The POETE resource elements outline what resources are needed for the region to achieve each capability based objective. They serve as a critical strategic guide for the region and jurisdictions to develop actual projects that will result in achievement of a particular objective. As such, they are not an exhaustive list meant to limit steps necessary to achieve a goal or objective but instead operate as a roadmap.

The detail of a POETE implementation step may vary from objective to objective or even in a single objective depending on the level of detailed data available from risk and capabilities assessments. Finally, the region and jurisdictions are *not* required to generate projects for each goal and objective in a given grant or funding cycle. Rather, each grant applicant must prioritize projects based on this Strategy and their own risk and need.

Table 9: Elements of Capability¹⁰

Planning	Development of policies, plans, procedures, mutual aid agreements, strategies and other publications that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and actions.
Organization	Specific personnel, groups or teams, an overall organizational structure, and leadership at each level in the structure that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks. Paid and volunteer staff who meet relevant qualification and certification standards necessary to perform assigned missions and tasks.
Equipment	Major items of equipment, supplies, facilities, and systems that comply with relevant standards necessary to perform assigned missions and tasks.
Training	Content and methods of delivery that comply with training standards necessary to perform assigned missions and tasks.
Exercises	Exercises, self-assessments, peer-assessments, outside review, compliance monitoring, and actual major events that provide opportunities to demonstrate, evaluate, and improve the combined capability and interoperability of the other capability elements to perform assigned missions and tasks to standards necessary to achieve successful outcomes.

Set forth below are the 2012-2015 homeland security goals and objectives for the Bay Area UASI region.

¹⁰ U.S. Department of Homeland Security, *Target Capabilities List* (September 2007).

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GOAL 1	Mission Area(s)	National Priorities	Core Capabilities	State Strategy
ENHANCE REGIONAL RISK MANAGEMENT AND PLANNING PROGRAM	Common	All	Planning Threat and Hazard Identification Risk and Disaster Resilience Assessment	N/A

Risk Management

In 2009, the Bay Area began developing a regional risk management and planning program to enable the region to develop, sustain and fund programs, plans and operations based on risk and capabilities assessment data. Today, this risk management program has matured to the point where it serves as the foundation for collecting and analyzing data to support strategic, operational and tactical level planning across the region.

A risk regional management framework is one in which all available data and subject matter expertise and experience is utilized to make informed decisions on what actions should be taken based on the costs of such actions and the return on investment in terms of mitigating the identified risks. The risk management program encompasses virtually all of the region’s activities from prevention, protection, mitigation, response and recovery efforts. A risk management program does not eliminate risk. It manages risk.

The Bay Area will continue to assess risk on a regular basis and in a consistent manner in order to provide a common understanding of the threats and hazards confronting the region. This information will, in turn, be used to help better understand what capabilities the region must possess to adequately address those risks. Part of this process will include the federally required threat and hazard identification and risk assessment (THIRA). While there are differences, the THIRA codifies at the federal level much of what the Bay Area has already begun at the regional level in terms of identifying scenarios and hazards that pose a significant risk to the region and the capabilities necessary to address those risks. The THIRA is very similar to the established hazard identification and risk assessment (HIRA) used to develop hazard mitigation plans at the Operational Area level.

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Objective 1.1: Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities

The Bay Area is able to identify and assess the threats and hazards that pose the greatest risk to the whole community. The region can prioritize and select appropriate capability-based planning investments and solutions for prevention, protection, mitigation, response, and recovery concerning those risks; monitor the outcomes of allocation decisions; and undertake corrective and sustainment actions.

Objective 1.1 Implementation Steps and Resource Elements

PLANNING	
1.1-P1	Develop an actionable risk management strategy that includes short, medium, and long term risk management objectives at the regional and jurisdictional level. This will include an annual risk overview report for the region and risk-based formulas to allocate resources to include funding.
1.1-P2	Assign a lead planner from the Bay Area UASI to coordinate the risk management program.
1.1-P3	Develop data collection timelines, requirements, and avenues for receiving information on local threats, vulnerabilities, and consequence of loss from stakeholders at the regional, sub-regional and jurisdictional levels as part of an annual risk assessment.
1.1-P4	Conduct annual risk validation analysis – threats, vulnerabilities, consequences - for the region and, as necessary, for each operational area and such other entities as required across the Bay Area. Continue to expand the use of localized vulnerability and consequence of loss data in the analysis.
1.1-P5	Rank criticality of CIKR assets and potential targets from across the region.
1.1-P6	Organize and prioritize capabilities at the regional and jurisdictional level (where appropriate) based on those capabilities most directly linked to prioritized risks.
1.1-P7	Develop annual strategy implementation guidance and project templates for DHS UASI application process. Ensure project templates link projects to risk and capability gaps and <i>Strategy</i> goals and objectives.
1.1-P8	Develop an annual capability assessment and gap analysis process to determine where gaps remain among capabilities with an emphasis on those capabilities necessary to address the region’s highest risks.
1.1-P9	Assign/hire planners to assist in the implementation, evaluation and updating of the <i>Bay Area Homeland Security Strategy</i> and preparedness report at the regional, sub-regional and jurisdictional levels.
1.1-P10	Produce a Bay Area annual report that outlines the annual accomplishment and major activities to ensure all appropriate stakeholders are kept informed.
1.1-P11	Conduct grant effectiveness analysis and produce grant effectiveness reports to demonstrate the value of UASI and other homeland security grants to local, state and national leaders.
1.1-P12	Bay Area UASI Management Team to provide strategic planning technical assistance to Operational Areas as needed.

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1.1-P13	Update, as needed, the <i>Bay Area Homeland Security Strategy</i> based upon the latest risk and capabilities assessment data.
1.1-P14	Ensure each Operational Area has an up-to-date hazard mitigation plan, continuity of operations plan (COOP), and continuity of government (COG) plan.
ORGANIZATION	
1.1-O1	Communicate in writing with all regional stakeholders the risk management process and the intent to use risk in decision making.
1.1-O2	Develop a risk management framework or working group to outline how risk assessments and risk analysis serve the process of managing “risks” and a process for stakeholder buy-in across all four sub-regions. This may include a comprehensive stakeholder governing process and governing bodies to oversee the risk management process.
1.1-O3	Assign/hire risk analysts to conduct risk analysis and produce risk products on behalf of the region, sub-regions and jurisdictions
EQUIPMENT	
1.1-E1	Sustain capabilities and risk management software and systems for the region to conduct capabilities and risk analysis to include threats, vulnerabilities and consequence of loss analysis to support tactical, operation and strategic level planning and operations.
TRAINING	
1.1-T1	Conduct principles of risk management training for policy makers and stakeholders from across the region.
1.1-T2	Train Bay Area UASI Management Team and the NCRIC staff on the use of risk analytic tools and software planning systems.
EXERCISES	
1.1-Ex1	Ensure UASI exercise program is risk based with scenarios used and capabilities tested tied to risk.
1.1-Ex2	Conduct exercises to test COOPs and COG plans at the Operational Area and local levels.

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GOAL 2	Mission Area(s)	National Priorities	Core Capabilities	State Strategy
ENHANCE INFORMATION ANALYSIS AND INFRASTRUCTURE PROTECTION CAPABILITIES	Prevention	Strengthen Information Sharing and Collaboration Capabilities	Long Term Vulnerability Reduction	Goal 1: Enhance Information Analysis and Law Enforcement Capabilities
	Protection		Forensics and Attribution	
		Implement the <i>NIPP</i>	Interdiction and Disruption	Goal 2: Protect Critical Infrastructure and Key Resources
		Enhance Regional Collaboration	Screening, Search and Detection	
			Risk Management for Protection Programs/Activities	
			Physical Protective Measures	
			Intelligence and Information Sharing	
			Access Control and Identity Verification	
			Cyber Security	

The National Intelligence and CIKR Protection Framework

Collecting and sharing information to protect critical infrastructure from threats and acts of terrorism is a core element of homeland security. In October 2007, to better coordinate the Nation’s information sharing activities, the Federal Government released the *National Strategy for Information Sharing* (National Strategy). In 2006, DHS published the final *National Infrastructure Protection Plan (NIPP)* with a revised version released in 2009. Both the *NIPP* and the National Strategy represent the national level plan for information sharing and CIKR protection, the implementation of which often occurs at the local level.

The *National Strategy* is intended to ensure that those responsible for combating terrorism and protecting local communities have access to the timely and accurate information they need by:

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- Providing a framework for enhanced information sharing among federal, state, local, and tribal officials; the private sector; and foreign partners to aid their individual missions and to help secure the U.S. homeland.
- Describing the Federal Government's approach to supporting state and major urban-area NCRICs, as well as national efforts to fight crime and make local communities safer.
- Recognizing that as information-sharing capabilities are enhanced, it is imperative that the legal rights of U.S. citizens continue to be protected, especially in the area of privacy and civil liberties.

The goal of the *NIPP* is to enhance protection of the Nation's CIKR to prevent, deter, neutralize, or mitigate the effects of deliberate efforts by terrorists to destroy, incapacitate, or exploit them; and to strengthen national preparedness, timely response, and rapid recovery in the event of an attack, natural disaster, or other emergency. The *NIPP's* supporting CIKR Sector-Specific Plans were released in May 2007 and provide the coordinated approach to establish national priorities, goals, and requirements for protection across each of the 18 CIKR sectors at the national level.

The Nationwide Suspicious Activity Reporting Initiative

Virtually every sophisticated terrorist attack has involved some form of pre-attack planning, surveillance and logistical support functions. Most of these pre-attack activities may or may not be criminal in nature, but virtually all could appear suspicious if viewed in isolation and potentially unravel a terrorist plot if viewed in total by a NCRIC or other intelligence agency. In order for such a total view to take place, the Nationwide Suspicious Activity Reporting (SAR) Initiative was created to allow law enforcement agencies to “develop, evaluate, and implement common processes and policies for gathering, documenting, processing, analyzing, and sharing information about terrorism-related suspicious activities.”¹¹ The Bay Area's Northern California Regional Intelligence Center (NCRIC) and law enforcement agencies can play a critical role in this process by linking not only suspicious activities in the region, but fusing those regional SARs with other suspicious activities from across the country to determine if terrorist plots are underway.

California's Intelligence Structure

Consistent with the *National Strategy* and the *NIPP*, the State of California has developed the State Threat Assessment System (STAS) to “protect California's citizenry and economy from terrorism and other criminality by collaboratively producing and disseminating critical threat information to its homeland security partners.” The STAS is a public safety partnership that obtains, analyzes, and shares information, and collaboratively develops and shares California-

¹¹ U.S. Department of Justice, Bureau of Justice Assistance, Nationwide SAR Initiative, accessed at http://nsi.ncirc.gov/documents/Nationwide_SAR_Initiative_Overview_2012.pdf

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specific counter-terrorism intelligence products enabling law enforcement to prevent terrorism in California.

The STAS is made up primarily of the State Threat Assessment Center (STAC), which is the State NCRIC operated by the California Highway Patrol and CalEMA; the CalDoJ Intelligence Operations Center (IOC); and four Regional Threat Assessment Centers (RTAC) located in San Diego, Los Angeles, Sacramento and the Bay Area. The STAS is a partnership of these organizations with no single organization exercising command and control over the other. In 2008, California issued the STAS Strategic Business Plan Concept of Operations, which outlines the vision, mission, structure and operations of the STAS. This ConOp was updated in early 2011.

The STAC is responsible for coordinating with the RTACs and compiling the overall State Threat Assessment. It supports regional intelligence analysis by supplying the RTACs with additional analytical support. Each RTAC's geographic area of responsibility coincides with the local FBI field office for that region. The RTAC's work extensively with their local FBI led Joint Terrorism Task Force (JTTF) and Field Intelligence Group (FIG).

Operating within each RTAC is a Terrorism Liaison Officer (TLO) program made up of public safety agency officer(s) trained in understanding terrorism who serve as the bidirectional gateway for terrorism information between the members of his/her own department, the RTACs and CIKR owners and operators.

The Bay Area's Intelligence and Infrastructure Protection Structure

The NCRIC serves as the Bay Area's RTAC and NCRIC. The NCRIC helps safeguard the region by assisting public safety agencies from across the Bay Area in their mission to detect, prevent, investigate and respond to criminal and terrorist activity. The NCRIC is a cooperative federal, state and local public safety effort to centralize the intake, analysis, fusion, synthesis, and appropriate dissemination of criminal and homeland security intelligence. The NCRIC disseminates intelligence and facilitates communications between state, local, federal agencies and private sector partners, in order to help them take action on threats and public safety issues.

The NCRIC is also the region's primary infrastructure protection management entity. It embodies the Bay Area's approach to information sharing and analysis and critical infrastructure protection which is to fuse the two missions by collecting, analyzing and sharing threats to CIKR in order to review intelligence data and map threats against CIKR, determining the threatened infrastructure's vulnerability, and recommending a suite of protective measures and other resources to mitigate the risk posed by the threat.

The Bay Area will work with its partners at all levels of government and the private sector throughout the intelligence cycle to ensure that information is turned into useful intelligence while at the same time respecting the privacy and civil liberties of all of its people. This will include enhanced cooperation and coordination with the region's JTTF, the region's NCRIC, local law enforcement, and private sector security forces in and around the region's critical infrastructure and key resources.

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The Bay Area's Cyber Security Framework

Since September 11, 2001, states and local jurisdictions across the U.S. have allocated significant time and resources to enhance intelligence sharing, physical security and emergency response capabilities. Too often, however, the digital world has been left as an afterthought in the homeland security enterprise. Not surprisingly, cyber based attacks against states and local governments are on the rise. To counter this increasing threat, the Bay Area has adopted a cyber security objective to build specific capabilities in cyber space, which will reduce cyber risk.

According to the National Preparedness Goal, cyber security is the ability to “protect against damage to, the unauthorized use of, and/or the exploitation of (and, if needed, the restoration of) electronic communications systems and services (and the information contained therein).” The National Institute of Science and Technology further defines cyber security as “the ability to protect or defend the use of cyberspace from cyber-attacks.”

While cyber security is primarily focused on the *protection* of cyber infrastructure, cyber preparedness is a more comprehensive view of cyber space in the area of homeland security. Cyber preparedness is the capability to *prevent, protect against, mitigate, respond to, and recover from* threats and acts of terrorism and other hazards occurring in cyber space that have impacts in the cyber and/or physical world. This outline of cyber preparedness effectively mirrors the homeland security mission areas in the physical world--the only difference being their application to the cyber environment. While the Bay Area will begin its focus on cyber security, which is an element of cyber preparedness, the region's strategy is to move toward a more comprehensive cyber preparedness framework in the near future.

As called for under Executive Order 13636 issued in February 2013, the National Institute of Science and Technology (NIST) began developing a cyber security framework. While still in draft form as of October 2013, the framework is designed to provide a common language and mechanism for organizations to:

- 1) describe current cyber security posture; 2) describe their target state for cyber security; 3) identify and prioritize opportunities for improvement within the context of risk management; 4) assess progress toward the target state; and 5) foster communications among internal and external stakeholders.¹²

The Bay Area will use this framework to inform its approach to cyber security and address cyber risk. Such cyber risk can come in a number of different forms in terms of the type of attacker and the method of attack employed. Tables 10 and 11 below summarize the U.S. General Accountability Office and the National Institute of Science and Technology descriptions of major cyber threat actors and attack methodologies.¹³

¹² National Institute of Science and Technology, *Draft Cyber Security Framework*, page 1 (August 2013).

¹³ Government Accountability Office, *Department of Homeland Security's Role in Critical Infrastructure Protection Cybersecurity*, GAO-05-434 (May, 2005); and NIST *Special Publication 800-82, Guide to Supervisory Control and Data Acquisition and Industrial Control System Security* (June 2011).

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Table 10: Major Cyber Threat Actors

Threat Actors	Description
Terrorists	Terrorists may use phishing schemes or spyware/malware and other attack methods to disrupt or disable critical infrastructure, or to steal funds or sensitive information.
Cyber Criminals	Criminal groups seek to attack systems for monetary gain. Specifically, organized crime groups are using spam, phishing, and spyware/malware to commit identity theft and online fraud. International corporate spies and organized crime organizations also pose a threat to the United States through their ability to conduct industrial espionage and large-scale monetary theft and to hire or develop hacker talent. Their goals are profit-based. Their sub-goals include attacks on infrastructure for profit to competitors or other groups listed above, theft of trade secrets, and gain access and blackmail affected industry using potential public exposure as a threat.
Foreign Governments	<p>These actors usually involve the intelligence services of foreign governments. Foreign intelligence services use cyber tools as part of their information-gathering and espionage activities. In addition, several nations are aggressively working to develop information warfare doctrine, programs, and capabilities.</p> <p>Threats range from propaganda and low-level nuisance web page defacements to espionage and serious disruption with loss of life and extensive infrastructure disruption. Their goal is to weaken, disrupt or destroy the U.S. Their sub-goals include espionage for attack purposes, espionage for technology advancement, disruption of infrastructure to attack the US economy, full scale attack of the infrastructure when attacked by the U.S. to damage the ability of the US to continue its attacks.</p>
Hactivists	Hactivists include individuals and groups, e.g. Anonymous, with anti-U.S. motives or other political agendas. Their goal is to support their political agenda. Their sub-goals are propaganda and causing damage to achieve notoriety for their cause.
Hackers	<p>Hackers are often categorized as follows:</p> <ul style="list-style-type: none"> • Script kiddies are unskilled attackers who do not have the ability to discover new vulnerabilities or write exploit code, and are dependent on the research and tools from others. Their goal is achievement. Their sub-goals are to gain access and deface web pages. • Worm and virus writers are attackers who write the propagation code used in the worms and viruses but not typically the exploit code used to penetrate the systems infected. Their goal is notoriety. Their sub-goals are to cause disruption of networks and attached computer systems. • Security researcher and white hat have two sub-categories; bug hunters and exploit coders. Their goal is profit. Their sub-goals are to improve security, earn money, and achieve recognition with an exploit. • Professional hacker-black hat who gets paid to write exploits or actually penetrate networks; also falls into the two sub-categories-bug hunters and exploit coders. Their goal is profit.
Bot-network	Bot-network operators are hackers; however, instead of breaking into systems

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Operators	for the challenge or bragging rights, they take over multiple systems in order to coordinate attacks and to distribute phishing schemes, spam, and malware attacks. The services of these networks are sometimes made available in underground markets (e.g., purchasing a denial-of-service attack, servers to relay spam, or phishing attacks, etc.).
Insiders	The disgruntled organization insider is a principal source of computer crime. This could be a full or part-time employee or contractor. Insiders may not need a great deal of knowledge about computer intrusions because their knowledge of a target system often allows them to gain unrestricted access to cause damage to the system or to steal system data. The insider threat also includes individuals who <i>accidentally</i> introduce malware or spyware into systems.
Phishers	Individuals, or small groups, who execute phishing schemes in an attempt to steal identities or information for monetary gain. Phishers may also use spam and spyware/malware to accomplish their objectives.
Spammers	Individuals or organizations who distribute unsolicited e-mail with hidden or false information in order to sell products, conduct phishing schemes, distribute spyware/malware, or attack organizations (i.e., denial of service).
Spyware and Malware Authors	Individuals or organizations with malicious intent carry out attacks against users by producing and distributing spyware and malware. Several destructive computer viruses and worms have harmed files and hard drives, including the Melissa Macro Virus, the Explore.Zip worm, the CIH (Chernobyl) Virus, Nimda, Code Red, Slammer, and Blaster.

Table 11: Major Cyber Attack Methods

Attack Methods	Description
Denial of Service	An attack that prevents or impairs the authorized use of networks, systems, or applications by exhausting resources or the delaying of system operations and functions.
Telephone Denial of Service	Attacks that clog phone lines and interrupt regular phone usage and business with a flood of false call traffic.
Doxing	The collection and unauthorized release of personally identifiable information to the public. This may include all relevant personal details, such as name, address, phone numbers, date of birth, Social Security Number, social networking information, usernames, passwords, images, and anything else that is related to them in an identifying capacity.
Phishing	A digital form of social engineering that uses authentic-looking—but phony—emails to request information from users or direct them to a fake Web site that requests information.
Watering Hole Attack	Tactics that combined social engineering and malware to target specific individuals at companies or government agencies by infecting legitimate and frequently visited websites and exploiting holes in browser software systems with the goal of stealing trade or other secrets.
Virus	A hidden, self-replicating section of computer software, usually malicious

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	logic, that propagates by infecting (i.e., inserting a copy of itself into and becoming part of) another program. A virus cannot run by itself; it requires that its host program be run to make the virus active.
Worms	A computer program that can run independently, can propagate a complete working version of itself onto other hosts on a network, and may consume computer resources destructively. A self-replicating, self-propagating, self-contained program that uses networking mechanisms to spread itself.
Trojan Horse	A computer program that appears to have a useful function, but also has a hidden and potentially malicious function that evades security mechanisms, sometimes by exploiting legitimate authorizations of a system entity that invokes the program.
Super Cyber Weapons	Cyber-attack methods that are so sophisticated they require a government sponsor to develop and deploy them, e.g. the Stuxnet Virus. Such weapons are often deployed against other governments in order to conduct intelligence gathering and/or sabotage.

The Bay Area has not been immune to the risk of cyber threats. In 2012 and 2013 alone, the region was the target of several high profile cyber-attacks. These include:

Alameda County System Infected by Trojan Virus

On August 24, 2012 the Alameda County Sheriff’s Office IT Department identified a virus known as the “SCR” or “PE_QUERVAR” virus. The virus affected .doc, .xls, and .exe files. The virus spread rapidly through servers and altered file-type and file-names. For example, the original file name may have been window.doc, but was altered to file name window_cod.scr. Some of the infected files caused administrator lock-outs. Such root infection requires a reboot and when reverted to its original state, this alters the date of the file, which can adversely impact evidence in criminal and other proceedings.

City of Oakland Doxed

On January 28, 2012, law enforcement in Oakland conducted a raid of Occupy Oakland. Following that raid, the group “Anonymous doxed numerous elected and senior appointed officials in the city. This included Oakland Mayor Jean Quan and her husband, the City Administrator, the Police Chief, the City Attorney, and seven City Council members.

NCRIC Targeted By Spear-Phishing Attacks

On November 15, 2012 and again on December 20, 2012 the NCRIC was target by sophisticated spear-phishing attacks involving well-crafted, convincing messages from false accounts created to impersonate actual NCRIC employees. The emails demonstrated detailed institutional knowledge of the NCRIC. The November 15th attack involved a “Press Release 11.14.12” that was sent to thirteen NCRIC staff members from the NCRIC’s Private Sector Outreach Coordinator. The email came from an “aol.com” account and included a backdoor Trojan, “Backdoor:Win32/Dalbot.gen.”

The December 20th attack involved an email “FW: Threats to the Homeland and Agency Reaction” that was sent to eleven NCRIC staff members, including the former NCRIC Director,

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supposedly from the NCRIC's then Deputy Director forwarding a document from DHS Secretary Janet Napolitano. The email used a "yahoo.com" account and involved an unknown virus.

Bay Area's Initial Cyber Security Program

Over the next 24 months, the region will begin implementation of its cyber security objective. This will include focusing on the areas of planning, organization and training. Once the initial plans, organizing structures, and training are in place, the region will then procure equipment, and conduct exercises to test the effectiveness of the region's new cyber capabilities.

The planning goals are to:

- promote the increase of cyber security defenses
- develop actionable plans for the mitigation of cyber vulnerabilities
- increase awareness of cyber threats and vulnerabilities and how to address them

Under organization, the region will address the need for improved information sharing processes and systems in order to:

- Enhance the protection of Private Sector and State/Local/Tribal/Territorial networks
- Support cyber-crime investigations
- Strengthen current cyber incident response mechanisms
- Promote private and public sector cooperation and information sharing

Information sharing initiatives include both human-to-human and automated, near real-time machine-to-machine information sharing projects and processes. The NCRIC will hire analysts to accomplish these goals.

Finally, cyber security training will be a vital part of any defense against cyber attacks. The region will develop training for employees and managers on the techniques, tactics, and procedures used by malicious threat actors to attack targets – e.g. spear phishing, SQL injections, and watering hole attacks. This training will include:

- "high-level" awareness training for all personnel on how to respond in the case of an incident, including the appropriate process to notify the IT department, what not to do when infected, and what information to convey to the appropriate responding agencies/organizations.
- Associated with the "awareness training" will be more focused cyber training for IT security professionals, law enforcement and public safety. Such training will be akin to the regular training given by Fusion Centers on drug trafficking, terrorism, and gangs.

The following regional security objectives outline the fully integrated approach the Bay Area will take to prevent and protect against risks arising out of the physical and cyber worlds.

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Objective 2.1 Enhance Intelligence Collection, Analysis and Sharing

The Bay Area has systems and procedures to effectively collect, analyze and timely share information and intelligence across federal, state, local, tribal, territorial, regional, and private sector entities to achieve coordinated awareness of, prevention of, protection against, mitigation of, and response to a threatened or actual terrorist attack, major disaster, or other emergency. This involves sustaining and building upon the region’s intelligence fusion center to include the ability to identify and systematically report suspicious activities associated with potential terrorist or criminal pre-operational planning and logistics.

Objective 2.1 Implementation Steps and Resource Elements

PLANNING	
2.1-P1	Ensure NCRIC planners and NCRIC fiscal agents are in place.
2.1-P2	Maintain plans and protocols to ensure connectivity between the NCRIC and other RTACs in California.
2.1-P3	The NCRIC should lead the development of and maintain operationally sound policies to comply with regulatory, statutory, privacy, and other issues that may govern the gathering and storing of intelligence/information.
2.1-P4	The NCRIC will work to ensure that jurisdictions understand and follow suspicious activity reporting guidelines.
2.1-P5	Ensure public awareness campaigns are in place, e.g. “see something, say something” at the jurisdictional level and within critical infrastructure sectors to ensure the public and private sectors report suspicious activity to appropriate authorities. Ensure the relevant information is shared with the NCRIC for action as necessary.
2.1-P6	Ensure that processes, protocols, and technical capabilities are in place at the regional and sub-regional level to allow proactive reporting and extraction of information from public, private, and law enforcement databases to the NCRIC.
2.1-P7	Develop plans and protocols to utilize social media in the acquisition of suspicious activity reports.
2.1-P8	The NCRIC will develop plans, to include MOUs, MOAs, SOPs, among Bay Area jurisdictions, outside jurisdictions, and the State of California, for the deployment of automated license plate readers (ALPRs) at fixed critical infrastructure sites as well as roaming ALPRs.
2.1-P9	Develop or maintain plans and procedures for the dissemination and routing of information and intelligence received by law enforcement agencies from outside entities and develop governance and privacy manuals.
2.1-P10	Continue to develop Terrorism Liaison Officers (TLOs) across all disciplines in the Bay Area with a particular emphasis on developing Health, Medical and Emergency Management TLOs.
2.1-P11	Develop plans and protocols for the sharing of public health and medical information between the NCRIC and the public health and medical community to include disease surveillance information.
2.1-P12	Develop plans and SOPs for intelligence sharing between the NCRIC and mass transit systems across the Bay Area.

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2.1-P13	Ensure the private sector and public works agencies are a part of the intelligence and information sharing process across the Bay Area.
2.1-P14	Ensure the NCRIC has an up to date continuity of operations plan (COOP).
2.1-P15	Local law enforcement agencies should develop and maintain written policies, guidelines and procedures for monitoring social media to detect potential threats.
ORGANIZATION	
2.1-O1	Develop administrative structures and protocols to support TLOs and local law enforcement in getting the NCRIC necessary information which can later be disseminated by the NCRIC across the region to local partner agencies.
2.1-O2	Provide funding to support NCRIC staff including intelligence analysts.
2.1-O3	Ensure all necessary personnel possess valid and current national security clearances.
2.1-O4	Provide funding to support NCRIC staff including critical infrastructure protection teams, public health and medical personnel, public safety personnel, and support staff.
2.1-O5	Develop and manage counter-surveillance teams out of the NCRIC and within certain law enforcement agencies across the region to provide counter-surveillance capabilities at CIKR across the Bay Area.
2.1-O6	Develop local and regional public awareness and reporting campaigns for suspicious activity reporting similar to the National “If You See Something, Say Something” campaign, and IWatch in Los Angeles and Washington, DC, etc.
2.1-O7	Develop a policy and process to raise awareness of the NCRIC and its mission with policy makers, elected officials, first responders, community leaders and the general public.
2.1-O8	Develop a process for the NCRIC to receive stakeholder feedback on all parts of the intelligence cycle to include feedback on training and exercises on intelligence and infrastructure protection.
EQUIPMENT	
2.1-E1	Acquire and deploy interoperable ALPR systems at high risk critical infrastructure sites across the Bay Area to detect patterns of suspicious behavior indicative of terrorist pre-operational surveillance.
2.1-E2	Ensure surveillance detection equipment is acquired and deployed at critical infrastructure and other key sites in the Bay Area including: cameras, detectors, and sensors that can send data collected to the NCRIC either directly or indirectly for analysis.
2.1-E3	Ensure all major law enforcement agencies across the Bay Area have the technology to gather and link suspicious activity reporting within each respective law enforcement agency.
2.1-E4	Acquire equipment to allow different law enforcement database systems to be linked and compatible, allowing for rapid transmission and processing of suspicious activity information across jurisdictions and with the NCRIC.
2.1-E5	Acquire tools to conduct link analysis on suspicious activity reports to determine if a pattern of terrorist pre-operational behavior is occurring in the Bay Area.
2.1-E6	Provide and sustain information technology equipment to include computers, software and hardware for intelligence analysts.

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2.1-E7	Sustain Video Teleconferencing Equipment and bridges for multi-site information sharing conferencing.
2.1-E8	Ensure terminals at the NCRIC and key law enforcement and public safety agencies across the region have access to information sharing networks, including federal classified networks where appropriate.
TRAINING	
2.1-T1	Train permanent and assigned analytical staff at the NCRIC on the intelligence cycle and on developing analytic products.
2.1-T2	All applicable training meets International Association of Law Enforcement Analytic Standards from Global Intelligence Working Group and the International Association of Law Enforcement Intelligence Analysts (GIWG/IALEIA) based standards (basic, intermediate, advanced) and such other standards as required.
2.1-T3	NCRIC staff and law enforcement personnel should receive annual awareness training on relevant privacy and security rules, and regulations (28 CFR and any other relevant State statutes and regulations).
2.1-T4	Basic and advanced intelligence analysis training is provided for intelligence operations personnel (e.g., commanders/supervisors, officers, analysts).
2.1-T5	Provide analytic staff at the NCRIC refresher training in analytical methods and practices.
2.1-T6	Personnel are trained in the process for preventing, reporting, and addressing the inappropriate disclosure of information and/or intelligence.
2.1-T7	Provide training to fire service, law enforcement and other public sector agency personnel on identifying and reporting suspicious activity to appropriate authorities.
2.1-T8	Train public and private sector, particularly security personnel at critical infrastructure sites across the Bay Area on the detection and reporting of terrorism pre-attack surveillance and logistical/operational activities against CIKR to the NCRIC.
EXERCISES	
2.1-Ex1	Conduct exercises to test and evaluate surveillance detection capabilities of security personnel at CIKR across the Bay Area.
2.1-Ex2	Conduct exercises to test the NCRIC's ability to analyze, link, and disseminate timely and actionable intelligence to law enforcement and other public safety agencies in the region.
2.1-Ex3	Hold exercises to test alternative, supplemental, and back-up mechanisms for routing information and/or intelligence to the necessary agencies in an emergency.
2.1-Ex4	Conduct exercises to test the process for preventing, reporting, and addressing the inappropriate disclosure of information and/or intelligence.

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Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities

The Bay Area’s law enforcement community (federal, state and local) and other public safety agencies can conduct forensic analysis and attribute terrorist threats and acts to help ensure that suspects involved in terrorist and criminal activities related to homeland security are successfully identified, deterred, detected, disrupted, investigated, and apprehended.

Objective 2.2 Implementation Steps and Resource Elements

PLANNING	
2.2-P1	Develop a plan and procedures to ensure law enforcement investigators across the region receive timely threat and intelligence information from the NCRIC.
2.2-P2	Law enforcement agencies across the region have a systematic process for contacting the local JTTF when a connection to terrorism is discovered during a local criminal investigation.
2.2-P3	Ensure local, state and federal law enforcement agencies use investigative information to help the NCRIC identify potential CIKR terrorism targets.
2.2-P4	Ensure law enforcement tactical teams and HazMat response teams within each Operational Area have standard operating procedures for tactical team and HazMat team integration for critical incidents involving hazardous materials.
ORGANIZATION	
2.2-O1	All local law enforcement agencies in the region should either maintain, or have access to, special operations teams compliant with the NIMS resource types (e.g., SWAT teams) capable of interdicting and disrupting terrorist and major criminal threats.
2.2-O2	Larger jurisdictions or entities should each identify a designated liaison with the JTTF.
2.2-O3	Ensure staffing within the NCRIC is in place for the coordination of the region’s interoperable law enforcement information management and sharing system(s).
EQUIPMENT	
2.2-E1	Continue to deploy interoperable law enforcement information management and sharing system across all Bay Area justice agencies to include procurement of software and computer systems, hardware and peripherals.
2.2-E2	At least one law enforcement tactical team in each planning hub has Level 1 protective ensemble models and elements that allow for the tactical team to operate in a CBRN environment.
TRAINING	
2.2-T1	Provide training for patrol officers on terrorism awareness, and protocols for passing criminal investigative information to the NCRIC and the JTTF.
2.2-T2	Train law enforcement personnel to use investigative information to identify potential vulnerabilities/target lists with the NCRIC.
2.2-T3	Provide computer-based and classroom training to TLOs, intelligence analysts, police investigators and other public safety personnel on the use of Bay Area interoperable law enforcement records management and information sharing systems.

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2.2-T4	Provide training to law enforcement personnel on the use of tactical intelligence (maps, blueprints, etc.) prior to tactical level interdiction and disruption operations.
2.2-T5	Enhance and provide hostage rescue training to law enforcement.
2.2-T6	Access FEMA sponsored courses in evidence collection at WMD/HazMat and CBRNE incident sites to include Crime Scene Management for CBRNE Incidents.
2.2-T7	Provide appropriate fire service personnel training on arson investigations to include the Fire/Arson Origin and Cause Investigation (R206) and the Principles of Fire Protection: Structures and Systems (R222) courses.
2.2-T8	Provide law enforcement tactical teams training in properly “stacking” and clearing rooms and clearing other the potential threat areas during a tactical emergency response.
2.2-T9	Provide law enforcement tactical teams training on forms of cover/concealment and open area movement tactics.
2.2-T10	Provide training to law enforcement personnel on the use of tactical intelligence (maps, blueprints, etc.) prior to tactical level interdiction and disruption operations.
EXERCISES	
2.2-Ex1	Ensure UASI exercise program incorporates terrorism attribution, interdiction and disruption capabilities into appropriate regional exercises.
2.2-Ex2	NCRIC staff should participate in regional counter terrorism exercises to test its ability to support law enforcement interdiction operations.

Objective 2.3 Increase Critical Infrastructure Protection

The Bay Area can assess the risk to the region’s physical and cyber critical infrastructure and key resources from acts of terrorism, crime, and natural hazards and deploy a suite of actions to enhance protection and reduce the risk to the region’s critical infrastructure and key resources from all hazards. This includes a risk-assessment process and tools for identifying, assessing, cataloging, and prioritizing physical and cyber assets from across the region.

Objective 2.3 Implementation Steps and Resource Elements

PLANNING	
2.3-P1	Develop a methodology to prioritize CIKR at the regional, sub-regional and jurisdictional level.
2.3-P2	Identify and catalogue by NIPP sector and sub-sector all high risk CIKR present at the regional, sub-regional and jurisdictional level in a secure web-based system.
2.3-P3	Ensure all high risk CIKR at the regional, sub-regional and jurisdictional level undergoes a site vulnerability assessment.
2.3-P4	Within the NCRIC, develop a plan to collect, analyze and map suspicious activity reports against CIKR that may be indicators of terrorist pre-attack surveillance.
2.3-P5	Fully integrate mass transit and maritime ports across the Bay Area region into the security planning and communication and notification process at the NCRIC and the Bay Area UASI.

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2.3-P6	Work with the private sector and other owners and operators of high risk CIKR to encourage their developing COOPs.
2.3-P7	Evaluate the methods of conducting a potential study of interdependencies of CIKR in the Bay Area.
ORGANIZATION	
2.3-O1	Develop and utilize sector coordinating council(s) for high risk infrastructure in the Bay Area.
2.3-O2	Ensure the NCRIC has CIKR protection analysts that fully integrate the intelligence/prevention and protection missions.
EQUIPMENT	
2.3-E1	Acquire devices that utilize biometric characteristics (fingerprints, palm prints, retinal scanning, etc.) to authorize access to CIKR facilities and/or systems.
2.3-E2	Acquire Geospatial/Geographical Information Systems including application software as well as integrated hardware for implementation.
2.3-E3	Deploy physical security enhancement equipment to high risk CIKR.
2.3-E4	Deploy CBRNE detection equipment in and around high risk CIKR across the Bay Area.
TRAINING	
2.3-T1	Develop and implement risk and vulnerability assessment training at the NCRIC and jurisdictional level.
EXERCISES	
2.3-Ex1	Develop and conduct exercise programs to test CIKR protection plans to include CIKR protection measures and technology across the Bay Area to evaluate the effectiveness of protection capabilities.

Objective 2.4 Enhance Cyber Security

Cyber security programs at the County and major city level meet the Federal Information Processing Standards 200 - Minimum Security Requirements for Federal Information and Information Systems. The region and its jurisdictions can detect malicious cyber activity, conduct technical counter-measures against existing and emerging cyber-based threats, and quickly recover from cyber-attacks in order to ensure the security, reliability, integrity, and availability of its electronic systems and services.

Objective 2.4 Implementation Steps and Resource Elements

PLANNING	
2.4-P1	Ensure every county and major city has conducted an up-to-date cyber risk and vulnerability assessment and developed a written cyber security policy that addresses the purpose of its cyber security program, the scope of the cyber security program, and the roles and responsibilities of agencies and personnel.
2.4-P2	Ensure every county and major city has a cyber contingency/incident response plan aligned with its EOP.

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2.4-P3	Ensure every county and major city has an Information Technology Service Continuity Plan that sets both post incident Recovery Time Objectives and the Recovery Point Objectives for any potentially affected essential government data.
2.4-P4	Develop a blue-print, budget and plan for a regional cyber incident response team to be housed in the NCRIC or other regional body.
ORGANIZATION	
2.4-O1	Develop a regional cyber preparedness focus group to develop regional priorities, share best practices, and develop regional cyber based projects.
2.4-O2	Develop cyber security analytic capabilities in the NCRIC to include, cyber information collection, cyber defense, cyber information sharing and cyber intelligence analysis so as to better process and respond to cyber incidents, cyber threat indicators, indicators of compromise, and cyber reporting.
2.4-O3	Develop a technical assistance program in the NCRIC to support operational areas in the conduct of risk and vulnerability assessments.
EQUIPMENT	
2.4-E1	
TRAINING	
2.4-T1	Ensure that each county and major city requires employees (new and existing) to successfully complete cyber security awareness level training (e.g., Information Security for Everyone (AWR175 or equivalent) or briefings on an annual basis. Training could be computer based.
2.4-T2	Bring the emergency management community into the cyber realm by having county and major city EOC managers successfully complete training on the EOC's Role in Community Cyber Security MGT384 (or equivalent), and the Role of the EOC in Cyber Incident Response.
2.4-T3	Provide county and major city law enforcement training on Cyber Investigators Training Level One, Cyber Security Essentials for Law Enforcement, and Prosecuting Cyber Crime.
2.4-T4	Each county and major city's IT staff has successfully completed Cyber Incident Analysis & Response (AWR169 or equivalent course) and the Importance of SCADA System Defense.
2.4-T5	Develop and implement a comprehensive Process Control/Supervisory Control and Data Acquisition (SCADA) cyber security awareness, education, and training program for the owners/operators of public sector SCADA-controlled CIKR within the Bay Area.
EXERCISES	
2.4-Ex1	

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GOAL 3	Mission Area(s)	National Priorities	Core Capabilities	State Strategy
ENHANCE COMMUNICATIONS CAPABILITIES	Response	Strengthen Interoperable and Operable Communications Implement the NIMS/NRF Enhance Regional Collaboration	Operational Communications	Goal 3: Strengthen Communications Capabilities

The National Emergency Communications Plan (NECP)

Produced in 2007, DHS’s *National Emergency Communications Plan (NECP)* establishes a comprehensive national vision for the future state of emergency communications. The desired future state is that emergency responders can communicate: as needed, on demand, and as authorized; at all levels of government; across all disciplines.

The *NECP* established three strategic goals:

- **Goal 1:** By 2010, 90 percent of all high-risk urban areas designated within the Urban Areas Security Initiative (UASI) are able to demonstrate response-level emergency communications within one hour for routine events involving multiple jurisdictions and agencies.
- **Goal 2:** By 2011, 75 percent of non-UASI jurisdictions are able to demonstrate response-level emergency communications within one hour for routine events involving multiple jurisdictions and agencies.
- **Goal 3:** By 2013, 75 percent of all jurisdictions are able to demonstrate response-level emergency communications within three hours.

In 2010, according to the DHS Office of Emergency Communications, which oversees the *NECP* and conducted assessments of 60 Urban Areas, Goal 1 has been met. The Bay Area successfully participated in the 2010 national assessment.

Bay Area Regional Interoperable Communications System

The Bay Area is currently deploying a region-wide, standards-based, communication “system of systems” that supports first responder communication needs for local and regional agencies and interoperates with state and federal public safety agencies and designated public service organizations operating within the Bay Area region. The Bay Area will accomplish this by implementing its 2008 strategic plan for achieving interoperable communications and by

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coordinating its efforts with the goals and objectives of the California Statewide Communications Interoperability Plan (CalSCIP).

BayComm is the region’s 700MHz Project 25 (P25) “system of systems” voice initiative. In the past, the Bay Area agencies have traditionally used disparate frequency and antiquated legacy analog systems. Interoperability required cache radios and gateways for agencies to team together effectively during multi-jurisdictional events and disasters. The BayComm seeks to alleviate these issues by providing Bay Area first responders with a common frequency band and a common open digital standard in P25.

In August 2011, the region established the Bay Area Regional Interoperable Communications System (BayRICS) Authority, a joint powers authority charged with governance and oversight of the Bay Area Enhanced Wireless Broadband (BayWEB), a regional broadband network designed to serve as a platform for fully interoperable voice, data and video communications throughout the region.

Objective 3.1: Enhance Operational Communications Capabilities

The emergency response community in the Bay Area has the ability to provide a continuous flow of mission critical voice, data and imagery/video information among multi-jurisdictional and multidisciplinary emergency responders, command posts, agencies, and Bay Area governmental officials for the duration of an emergency response operation. The Bay Area can also re-establish sufficient communications infrastructure within the affected areas of an incident, whatever the cause, to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery.

Objective 3.1 Implementation Steps and Resource Elements

PLANNING	
3.1-P1	Complete an interagency communication process baseline report for each agency, operational area and sub-region that defines processes required to achieve interoperable communications within and between agencies.
3.1-P2	Reassess each Operational Area’s current level of ability in the interoperable voice communications area to determine how the Bay Area region should move forward in planning and investing.
3.1-P3	Ensure all Tactical Interoperable Communications Plans (TICPs) in the region are fully up to date. Evaluate the possibility of developing a repository of all Bay Area TICPs for easy access for public safety policy makers.
3.1-P4	Ensure after action plans are developed and reviewed at the county/operational area and/or sub-regional and regional level to evaluate the effectiveness of communications mobilization and demobilization activities.
3.1-P5	Coordinate with and support BayRICS Authority efforts to integrate broadband data and video communications into regional interoperable communications plan.
3.1-P6	Develop COOPs that ensure continued operation of local and regional public safety communications nets during an incident response.
3.1-P7	Ensure incident commanders and first responders have awareness of primary and

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	secondary systems and peripheral equipment for interoperable emergency communications.
ORGANIZATION	
3.1-O1	Provide limited initial funding for a Bay Area Regional Communications Coordinator position within the region to provide administrative support and to facilitate the regional approach to Interoperable Communications with an emphasis on mission critical voice communication while laying the ground work for future data communications. This person will liaison with the surrounding regions (CAP-BAY) and the State of California on technical issues as necessary.
3.1-O2	Ensure local incident commanders and first responders have awareness of primary and secondary systems and peripheral equipment for interoperable emergency communications.
EQUIPMENT	
3.1-E1	Manage, enhance and sustain the digital microwave network and other high speed data transport networks to support interoperability efforts in the Bay Area to link the various interoperability projects across the Bay Area to include redundant systems such as BayLoop.
3.1-E2	Develop a regional fiber optic backhaul network and transition regional interoperable communications infrastructure from microwave to fiber technology.
3.1-E3	Enhance BayWEB coverage through additional communications equipment or backhaul to improve coverage and performance in areas that demonstrate significant need.
3.1-E4	Acquire back-up equipment to support continuity of communications operations in the event primary communications systems are destroyed.
TRAINING	
3.1-T1	Ensure each county/operational area has at least four people trained as Communications Unit Leaders (COML).
3.1-T2	Provide hybrid training on the interoperability communications protocols, tools and efforts to include data, video and multimedia applications and TICPs so as to ensure that responders are prepared to work in the shared environments.
EXERCISES	
3.1-Ex1	Conduct TICP exercises at Operational Area levels.
3.1-Ex2	Use exercise scenarios that test multi-agency communication for the purpose of validating joint standard operating procedures (SOPs) for emergencies and regional communications SOPs.
3.1-Ex3	Continue to test and evaluate the region's first responders in the use of plain language during appropriate incidents.
3.1-Ex4	Conduct exercises to test and evaluate the ability to use back-up communications equipment.

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GOAL 4	Mission Area(s)	National Priorities	Core Capabilities	State Strategy
STRENGTHEN CBRNE/WMD DETECTION, RESPONSE AND DECONTAMINATION CAPABILITIES	Response	Strengthen CBRNE Detection, Response, and Decontamination Capabilities	Infrastructure Systems On-Scene Security and Protection Public and Private Services Mass Search and Rescue Environmental Response	Goal 5: Strengthen Catastrophic CBRNE and All Hazards Incident Planning, Detection and Response Capabilities

WMD/CBRNE Overview

The National Fire Protection Association (*NFPA 472: Competence of Responders to Hazardous Materials/Weapons of Mass Destruction Incidents*) identifies the minimum levels of competence required by all responders to emergencies involving HazMat and WMD. *NFPA 472* is based on the premise that responders should be trained to perform their expected tasks, and that a responder cannot safely and effectively respond to a terrorism or criminal incident involving HazMat or WMD if they do not first understand basic hazardous materials response.¹⁴ In addition, the standard redefines the awareness level away from “first responders” and to “persons who, in the course of their normal duties, could be the first on the scene of an emergency involving a hazmat/WMD and who are expected to recognize the presence of hazmat/WMD, protect themselves, call for trained personnel, and secure the area.”¹⁵

¹⁴ NFPA@Catalog, “Product Detail: NFPA 472: Standard for Competence of Responders to Hazardous Materials/ Weapons of Mass Destruction Incidents, 2008 Edition” (2012), at <http://www.nfpa.org/catalog/product.asp?pid=47208>.

¹⁵ Gregory G. Noll, FireEngineering®, “NFPA 472: Developing a Competency-Based Hazmat/WMD Emergency Responder Training Program” (April 1, 2008), at <http://www.fireengineering.com/articles/print/volume-161/issue-4/features/nfpa-472-developing-a-competency-based-hazmat-wmd-emergency-responder-training-program.html>

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NFPA 473: Standard for Competencies for EMS Personnel Responding to Hazardous Materials/Weapons of Mass Destruction Incidents identifies the levels of competence required of emergency medical services (EMS) personnel who respond to hazardous materials incidents. It specifically covers the requirements for basic and advanced life support personnel in the pre-hospital environment. The Bay Area will strive to adhere to both NFPA standard 472 and 473.

Established in 1998, the National Bomb Squad Commanders Advisory Board (NBSCAB) is an association of bomb squad commanders from around the country. The group provides advice and guidance to federal standard-setting agencies that support bomb squads and serves as the final decision-making authority on guidelines and standards for the public safety bomb squad profession. In coordination with NBSCAB, the FBI provides the standards for bomb squad certification based on formation, training and equipment. Every bomb squad technician attends the FBI’s Hazardous Devices School for six weeks of initial training and returns to the school every three years for recertification. Each year there are over 200 hours of refresher training.

Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support

Fire service agencies across the Bay Area can dispatch initial fire suppression resources within jurisdictional response time objectives, and firefighting activities are conducted safely with fire hazards contained, controlled, extinguished, and investigated, with the incident managed in accordance with local and state response plans and procedures.

Objective 4.1 Implementation Steps and Resource Elements

PLANNING	
4.1-P1	Develop regional plans, programs, and agreements on fire-related public safety protection activities, including region-wide mutual aid response protocols.
4.1-P2	Develop regional firefighting plans and procedures to address ICS with a particular focus on unified command for multi-agency events and ensure they are integrated with onsite incident management plans.
4.1-P3	Develop regional specialized firefighting plans for CBRNE incidents involving mass transit.
EQUIPMENT	
4.1-E1	Acquire and maintain authorized firefighting equipment as agreed to by the region.
TRAINING	
4.1-T1	Develop and implement training to enable fire rescue and emergency medical services to recognize the presence of CBRNE materials.
4.1-T2	Conduct training in unified command structure and process under NIMS/SEMS/ICS for multi-agency events.
EXERCISES	
4.1-Ex1	Conduct exercises to test and evaluate fire incident response involving multiple agencies to test unified command.

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Objective 4.2 Strengthen Mass Search and Rescue Capabilities

Public safety personnel in the Bay Area are able to conduct search and rescue operations to locate and rescue persons in distress and initiate community-based search and rescue support-operations across a geographically dispersed area. The region is able to synchronize the deployment of local, regional, national, and international teams to support search and rescue efforts and transition to recovery.

Objective 4.2 Implementation Steps and Resource Elements

PLANNING	
4.2-P1	Develop plans, protocols and SOPs for local and regional level search and rescue operations involving the most common incidents requiring search and rescue. This should include initial search plans using a column grid layout.
ORGANIZATION	
4.2-O1	Each operational area should continue to integrate EMS into search and rescue teams across the region.
EQUIPMENT	
4.2-E1	Acquire and sustain personal protective equipment for search and rescue teams.
4.2-E2	Acquire and sustain medical equipment for search and rescue teams.
4.2-E3	Acquire and sustain search and rescue watercraft and aviation equipment.
TRAINING	
4.2-T1	Update the Bay Area’s search and rescue training mandates.
4.2-T2	Conduct training for search and rescue reconnaissance teams to provide preliminary recommendations on search priorities and strategy within 1 hour of an incident.
4.2-T3	Provide rescue systems 1 and 2 level training with an emphasis on identifying and mitigating the creation of hazards during search and rescue operations.
EXERCISES	
4.2-Ex1	Update the Bay Area’s search and rescue exercise mandates.
4.2-Ex2	Test and evaluate search and rescue capabilities in operational area and regional exercises. Regional exercises should focus on the coordination, command and control of multiple search and rescue teams operating in a multi-jurisdictional incident.

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Objective 4.3 Enhance Screening Search and Detection Capabilities

The Bay Area has systems and procedures to rapidly detect, locate and identify chemical, biological, radiological, nuclear, and/or explosive (CBRNE) materials at ports of entry, critical infrastructure locations, public events, and incidents, and can communicate CBRNE detection, identification and warning information to appropriate entities and authorities across the state and at the federal level.

Objective 4.3 Implementation Steps and Resource Elements

PLANNING	
4.3-P1	Prepare and apply for Domestic Nuclear Detection Office Securing the Cities grants in order to design and implement architectures in the Bay Area for the coordinated and integrated screening, search, detection and interdiction of radiological/nuclear materials that are out of regulatory control and may be used as a weapon.
4.3-P2	Ensure the region’s radiological/nuclear detection plans and protocols are fully integrated with the State’s preventive radiological/nuclear detection program.
4.3-P3	Develop intelligence and risk-based CBRNE screening, search and detection deployment protocols for major events, mass transit and other high profile events and CIKR.
4.3-P4	Develop plans and protocols for the NCRIC to notify appropriate personnel of CBRNE screening, search and detection data and results.
4.3-P5	Develop a records management protocol at the NCRIC for all CBRNE issues or alarms and their resolution.
4.3-P6	Develop plans and protocols to acquire and distribute CBRNE screening, search and detection equipment to large numbers of first responders across the region.
4.3-P7	Sustain and update plans and protocols among laboratories across the region for public information regarding CBRNE detection.
ORGANIZATION	
4.3-O1	Ensure laboratories across the region are adequately staffed for agent identification.
EQUIPMENT	
4.3-E1	CBRNE inspection, detection and screening systems equipment for deployment at pre-determined sites across the region such as seaports, airports, major public events, water supply, mass transit, etc.
TRAINING	
4.3-T1	Appropriate personnel have been identified for CBRNE screening, search and detection training (e.g., law enforcement, transit police and security, fire department, hazardous materials (HazMat), public health, private sector security, and critical infrastructure personnel).
4.3-T2	Awareness level training for first responders and CIKR personnel for each of the CBRNE agents.
EXERCISES	

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4.3-Ex1	A program to test and evaluate new CBRNE screening, search and detection technology in the appropriate operational environment is made part of the overall exercise and evaluation program.
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Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations

Public safety bomb squads in the Bay Area are able to conduct threat assessments; render safe explosives and/or hazardous devices; and clear an area of explosive hazards in a safe, timely, and effective manner. This involves the following steps in priority order: ensure public safety; safeguard the officers on the scene (including the bomb technician); collect and preserve evidence; protect and preserve public and private property; and restore public services.

Objective 4.4 Implementation Steps and Resource Elements

PLANNING	
4.4-P1	Engage the DHS Office of Bombing Prevention for the purpose of conducting a Multi-Jurisdictional Improvised Explosive Device Security Planning assessment.
4.4-P2	Develop and sustain plans, tactics, techniques, and procedures to respond to vehicle borne improvised explosive devices among regional bomb squads.
4.4-P3	Develop and sustain plans, tactics, techniques, and procedures to respond to radio-controlled, improvised explosive devices among regional bomb squads.
4.4-P4	Develop and sustain plans, tactics, techniques, and procedures to respond to suicide bombers among regional bomb squads.
4.4-P5	Using a risk-based approach, evaluate those high-risk or particularly vulnerable locations in the Bay Area that might be beyond a 1-hour response time frame, and assess the potential for acquiring and pre-deploying additional explosive device response equipment to help meet the 1-hour time response frame.
ORGANIZATION	
4.4-O1	Ensure all bomb squads in the Bay Area are accredited by the FBI to standards set by the National Bomb Squad Commanders Advisory Board
4.4-O2	Ensure full use of the DHS Office of Bombing Prevention information-sharing portal, the Technical Resource for Incident Prevention (TRIPwire), and the ATF’s clearing house (Bomb Arson Tracking System (BATS)).
EQUIPMENT	
4.4-E1	Ensure all bomb squad personnel have appropriate personal protective equipment, e.g., ballistic vests and helmets with shields, for use during hand entry operations.
4.4-E2	Acquire and sustain necessary electronic counter measures and other EDRO equipment.
4.4-E3	Based on assessment results (4.4-P5), acquire, pre-deploy and sustain necessary explosive device response equipment for high-risk sites outside a 1-hour response time frame.

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TRAINING	
4.4-T1	Provide training to bomb squad personnel on locating and neutralizing secondary devices and booby traps.
4.4-T2	Ensure all bomb squad training (including techniques, tactics, and procedures) is consistent with and enhances training delivered by the FBI Hazardous Devices School.
4.4-T3	Deliver training for responding to radio controlled improvised explosive devices.
4.4-T4	Deliver training for responding to suicide bombers.
4.4-T5	Deliver training for responding to vehicle borne improvised explosive devices.
4.4-T6	Provide general public and private sector personnel with bomb threat awareness training as needed.
4.4-T7	Ensure that all necessary law enforcement personnel are provided sufficient support and opportunities for continuing/refresher education and explosive device response training.
EXERCISES	
4.4-Ex1	Ensure explosive device response operations, to include responding to a VBIED, IED, waterborne IED and other scenarios are incorporated into exercise programs.

Objective 4.5 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities

Responders in the Bay Area are able to conduct health and safety hazard assessments and disseminate guidance and resources, including deploying HazMat response and decontamination teams, to support immediate environmental health and safety operations in the affected area(s) following a WMD or HazMat incident. Responders are also able to assess, monitor, clean up, and provide resources necessary to transition from immediate response to sustained response and short-term recovery.

Objective 4.5 Implementation Steps and Resource Elements

PLANNING	
4.5-P1	Develop maintenance and safety plans for regional equipment caches used by multiple EMD/HazMat teams in the region.
4.5-P2	Develop SOPs for integration of fire personnel and law enforcement tactical teams.
4.5-P3	Ensure fire service has plans and procedures in place to decontaminate equipment and resources during a WMD/HazMat response.
4.5-P4	Ensure plans and procedures are in place to decontaminate deceased bodies during a WMD/HazMat response.
4.5-P5	Integrate the private sector into hazardous materials clean-up/recovery plans.
ORGANIZATION	
4.5-O1	Pre-identify resources (personnel and equipment) to provide rapid initial size-

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	up of hazardous materials incident.
EQUIPMENT	
4.5-E1	Acquire equipment for WMD/HazMat teams using CalEMA, FIREScope HazMat Team Standardized Equipment List and the Bay Area CBRNE Plan as guidelines.
4.5-E2	Acquire tools that may be used predominantly in the field by WMD/HazMat teams to generate effective plume modeling.
TRAINING	
4.5-T1	Ensure that all appropriate personnel are trained to NFPA 472 standard and provide refresher training as needed.
4.5-T2	Ensure that all appropriate personnel are trained to NFPA 473 standard and provide refresher training as needed.
4.5-T3	Ensure hazmat team(s) trains regularly with EMS to ensure proper coordination of victim care post-decontamination (identification of substance, administration of antidotes, etc.).
4.5-T4	Develop and implement training related to detection, identification and reporting of hazardous material.
4.5-T5	Provide training to WMD/HazMat teams on the use of plume modeling tools to improve response time and effectiveness in plume modeling.
4.5-T6	Conduct training for integration of fire personnel and law enforcement tactical team response operations.
4.5-T7	Conduct training for fire service on procedures to decontaminate equipment and resources during a WMD/HazMat response.
4.5-T8	Provide WMD/HazMat response and mitigation training to law enforcement personnel as needed.
4.5-T9	Conduct joint public and private sector training on the transition from response to recovery and clean up following a WMD/HazMat incident.
4.5-T10	Training for WMD/HazMat teams on proper use and understanding of the radioactive detection methods and equipment currently in use.
4.5-T11	Train Radiation Safety Officers for Type 1 teams to oversee the radiation equipment and standardize the radiation training each team as well as other mutual aid hazmat technicians.
EXERCISES	
4.5-Ex1	Test and evaluate the use of plume modeling tools to measure improvements in response time and effectiveness in plume modeling.
4.5-Ex2	Exercise CBRNE/WMD/HazMat capabilities and equipment into regional and statewide exercise opportunities.

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Objective 4.6 Improve Environmental Response/Health and Safety through Responder Safety and Health

The Bay Area can reduce the risk of illnesses or injury to first responders, first receivers, medical facility staff members, or other skilled support personnel as a result of preventable exposure to secondary trauma, chemical/radiological release, infectious disease, or physical/emotional stress after the initial incident or during decontamination and incident follow-up.

Objective 4.6 Implementation Steps and Resource Elements

PLANNING	
4.6-P1	Develop and adopt agency/jurisdiction safety and health plans and program(s).
4.6-P2	Conduct a detailed analysis of relevant planning scenarios to ensure that all workers are protected while performing tasks from all hazards.
ORGANIZATION	
4.6-O1	Establish plans and procedures for identifying sources of additional equipment and expertise if the safety and health program is overwhelmed.
EQUIPMENT	
4.6-E1	Acquire and sustain authorized personal protective equipment as agreed to by the region to include SCBA, auto injectors, etc.
TRAINING	
4.6-T1	Provide training on acquired PPE.
EXERCISES	
4.6-Ex1	Integrate responder health and safety into exercises to develop and maintain appropriate health and safety knowledge and expertise for responders.

Objective 4.7 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response

Public safety agencies within the Bay Area are able to keep the public and critical infrastructure safe by securing a particular incident scene and maintaining law and order following an incident or emergency to include managing the criminal justice prisoner population.

Objective 4.7 Implementation Steps and Resource Elements

PLANNING	
4.7-P1	Develop plans and procedures for a Type 1 regional mobile field force (MFF) under NIMS to support emergency public safety and security.
4.7-P2	Develop plans and systems to maintain accountability of public safety personnel, track incident locations, and track resources.
4.7-P3	Develop activation and deployment plans for public safety and security with plans targeting 50 percent of total uniformed (patrol) staff of a jurisdiction having primary responsibility for the incident.
4.7-P4	Develop plans and protocols for alternate facilities for court services, prisoner holding and housing, prisoner transport, criminal intake and other criminal

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	justice services.
4.7-P5	Ensure plans for sheltering, housing, and feeding law enforcement and other public safety personnel are in place
ORGANIZATION	
4.7-O1	Ensure MFF meets NIMS type 1 standards to include a tactical team (platoon) to include four 12-person squads and an officer in charge (OIC) and a Deputy OIC. Each squad should include a supervisor.
EQUIPMENT	
4.7-E1	Acquire and sustain MFF equipment to include protective clothing, soft body armor (helmet and face shield, gloves, shin guards), communications equipment, personal hydration, riot control gear, video equipment, mass arrest kits, and other necessary equipment.
4.7-E2	Acquire and sustain power and traffic control equipment.
TRAINING	
4.7-T1	Provide training to MFF to include, crowd control, traffic management, on-site security, etc.
4.7-T2	Develop and conduct public safety and security training programs to include joint local, state and federal teams pursuant to ESF 13 under the NRF.
EXERCISES	
4.7-Ex1	Test and evaluate MFF and such other public safety and security teams' activation and deployment capabilities.
4.7-Ex2	Test and evaluate criminal justice re-location plans.

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GOAL 5	Mission Area(s)	National Priorities	Public Health and Target Capabilities	State Strategy
ENHANCE MEDICAL AND PUBLIC HEALTH PREPAREDNESS	Protection Response Recovery	Strengthen Medical Surge and Mass Prophylaxis Capabilities	Emergency Triage and Pre-Hospital Treatment Medical Surge Medical Countermeasure Dispensing Medical Materiel Management and Distribution Non-Pharmaceutical Interventions Laboratory Testing Public Health surveillance and Epidemiological Investigation Fatality Management	Goal 6: Improve Medical and Health Preparedness

Public Health and Medical Background

Health and medical preparedness is a fundamental component of homeland security. This fact is evidenced by the 2001 anthrax attacks, the outbreak of Severe Acute Respiratory Syndrome (SARS), and the 2009 H1N1 influenza outbreak. Given such risks, the Bay Area must ensure its medical and public health infrastructure is capable of protecting against, responding to, and recovering from such events.

At the National level, the Department of Health and Human Services has led the way with the creation of the National Health Security Strategy (NHSS), released in December 2009. The NHSS is designed to achieve two overarching goals:

- Build community resilience, and
- Strengthen and sustain health and emergency response systems.

As with the *Bay Area Homeland Security Strategy*, the NHSS is designed around building health and medical capabilities in order to achieve strategic goals and objectives based on the elements

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of plans, organization, equipment, training, and exercises. As the Federal Government continues to develop implementation plans for the NHSS, the Bay Area will track federal guidance and integrate, where appropriate, such guidance into local and regional health and medical preparedness efforts.

In enhancing medical and public health preparedness, the Bay Area seeks to develop a comprehensive and integrated system of first responders, hospitals, clinics, and public health departments across the region. This includes fully integrating the Metropolitan Medical Response System (MMRS) in the Bay Area.

Finally, the region’s CBRNE plan also plays a critical role relative to this strategic goal as several objectives within the plan cover medical and health preparedness concerning a CBRNE event. Jurisdictions and sub-regions should therefore, look to the CBRNE plan for additional guidance in this area.

Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment

Emergency medical services (EMS) resources across the Bay Area can effectively and appropriately be dispatched (including with law enforcement tactical teams) to provide pre-hospital triage, treatment, transport, tracking of patients, and documentation of care appropriate for the incident, while maintaining the capabilities of the EMS system for continued operations up to and including for mass casualty incidents.

Objective 5.1 Implementation Steps and Resource Elements

PLANNING	
5.1-P1	Update local mass casualty plans and integrate local plans with the California Disaster Medical Operations Manual.
5.1-P2	Produce written plans and procedures for coordination of the local EMS system with the State and National Disaster Medical System (NDMS).
5.1-P3	Develop protocols and procedures for tracking triage and pre-hospital treatment response staff and equipment during day-to-day operations, as well as catastrophic incidents.
EQUIPMENT	
5.1-E1	Acquire and sustain emergency medical equipment to include patient tracking systems and PPE.
TRAINING	
5.1-T1	Provide training on the California Public Health and Medical Emergency Operations Manual.
5.1-T2	Develop and implement multi-disciplinary training programs for EMS personnel, based on local risk vulnerability assessments and lessons learned.
5.1-T3	Conduct training for EMS and tactical team personnel in joint response events.
5.1-T4	Conduct training for dispatch personnel in protocols and procedures for dispatch during catastrophic events.
5.1-T5	Provide the Tactical Emergency Casualty Care Course to EMS personnel.

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EXERCISES	
5.1-Ex1	Develop and implement multi-disciplinary exercises to test and evaluate the ability of EMS agencies to move and track large numbers of patients during a multi-jurisdictional incident consistent with the California Disaster Medical Operations Manual.
5.1-Ex2	Conduct joint EMS and law enforcement tactical team exercises to test and evaluate the ability to operate jointly in a warm zone.

Objective 5.2 Increase Medical Surge

The Bay Area is able to provide adequate medical evaluation and care during incidents that exceed the limits of the normal medical infrastructure of an affected community or the region. The healthcare system in the region is able to survive a hazard impact and maintain or rapidly recover operations that were compromised. Those injured or ill from a medical disaster and/or mass casualty event in the Bay Area are rapidly and appropriately cared for. Continuity of care is maintained for non-incident related illness or injury.

Objective 5.2 Implementation Steps and Resource Elements

PLANNING	
5.2-P1	Develop and maintain medical surge plans that integrate with State and hospital plans including patient distribution plans.
5.2-P2	Develop and maintain medical mutual aid agreements for medical facilities and equipment.
5.2-P3	Develop and maintain surge capacity plans for acute care hospitals.
5.2-P4	Update local mass casualty plans and integrate local plans with the California Disaster Health Operations Manual.
EQUIPMENT	
5.2-E1	Acquire and sustain medical equipment, supplies and pharmaceuticals to support medical surge operations.
TRAINING	
5.2-T1	Provide training on the California Public Health and Medical Emergency Operations Manual.
5.2-T2	Provide training on the California Healthcare Surge Standards and Guidelines for healthcare facilities.
EXERCISES	
5.2-Ex1	Test and evaluate medical surge plans.

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Objective 5.3 Strengthen Medical Countermeasure Dispensing

With the onset of an incident, the Bay Area is able to provide appropriate medical countermeasures (including vaccines, antiviral drugs, antibiotics, antitoxin, etc.) in support of treatment or prophylaxis (oral or vaccination) to the identified population in accordance with local, state and federal public health guidelines and/or recommendations.

Objective 5.3 Implementation Steps and Resource Elements

PLANNING	
5.3-P1	Develop and maintain plans, procedures, and protocols for medical countermeasure dispensing.
5.3-P2	Develop procedures for obtaining medical countermeasure dispensing supplies from the receipt, staging, and storage (RSS) sites in coordination with the Medical Supplies and Distribution Capability.
5.3-P3	Develop programs to ensure security of medical countermeasure dispensing during dispensing operations.
5.3-P4	Develop processes to ensure that first responders, public health responses, critical infrastructure personnel, and their families receive prophylaxis prior to POD opening.
ORGANIZATION	
5.3-O1	Develop a medical countermeasure dispensing inventory management system.
EQUIPMENT	
5.3-E1	Caches of medical supplies and strategic national stockpile (SNS) dispensing and distribution equipment.
TRAINING	
5.3-T1	Develop and implement training for medical countermeasure dispensing operations.
5.3-T2	Develop and implement training for medical countermeasure dispensing repacking, distribution, and dispensing, security of mass prophylaxis, and for mass prophylaxis inventory management.
EXERCISES	
5.3-Ex1	Conduct medical countermeasure dispensing exercises to test and evaluate all aspects of medical countermeasure dispensing, including distribution and dispensing, tactical communications, public information and communication, security, inventory management, and distribution.

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Objective 5.4 Improve Medical Materiel Management and Distribution

The Bay Area is able to acquire, maintain (e.g., cold chain storage or other storage protocol), transport, distribute, and track medical materiel (e.g., pharmaceuticals, gloves, masks, and ventilators) during an incident and recover and account for unused medical materiel, as necessary, after an incident.

Objective 5.4 Implementation Steps and Resource Elements

PLANNING	
5.4-P1	Develop plans for establishing staging areas for internal and external medical response personnel, equipment, and supplies.
5.4-P2	Establish strategies for transporting materials through restricted areas, quarantine lines, law enforcement checkpoints and so forth that are agreed upon by all affected parties.
5.4-P3	Obtain demographic/health-related data to plan for the types of medications, durable medical equipment, or consumable medical supplies that may need to be provided during an event (including supplies needed for populations requiring functional or medical care).
TRAINING	
5.4-T1	Provide training on the demobilization of medical supplies.
5.4-T2	Provide training in medical supplies management and distribution in the pre hospital triage environment.
5.4-T3	Provide training on CDC supply tracking software.
EXERCISES	
5.4-Ex1	Exercise plans procedures and systems for transporting and tracking medical material assets with specific focus on the demobilization of medical supplies.

Objective 5.5 Strengthen Non-Pharmaceutical Interventions

Public health agencies in the Bay Area are able to recommend to the applicable lead agency (if not public health) and implement, if applicable, strategies for disease, injury, and exposure control. Strategies include the following: isolation and quarantine, restrictions on movement and travel advisory/warnings, social distancing, external decontamination, hygiene, and precautionary protective behaviors. Legal authority for those applicable measures is clearly defined and communicated to all responding agencies and the public. Logistical support is provided to maintain measures until danger of contagion has elapsed.

Objective 5.5 Implementation Steps and Resource Elements

PLANNING	
5.5-P1	Ensure legal authority is in place for authorizing isolation and quarantine.
5.5-P2	Develop and maintain plans for coordinating quarantine activation and enforcement with public safety and law enforcement.

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ORGANIZATION	
5.5-O1	Establish systems, programs, and resources for implementing isolation and quarantine.
TRAINING	
5.5-T1	Develop and implement exercises for isolation and quarantine.
EXERCISES	
5.5-Ex1	Exercises to test plans for implementing isolation and quarantine.

Objective 5.6 Improve Laboratory Testing

Laboratories in the Bay Area are able to conduct rapid and conventional detection, characterization, confirmatory testing, data reporting, investigative support, and laboratory networking to address actual or potential exposure to all-hazards. Confirmed cases and laboratory results are reported immediately to all relevant public health, food regulatory, environmental regulatory, and law enforcement agencies in support of operations and investigations.

Objective 5.6 Implementation Steps and Resource Elements

ORGANIZATION	
5.6-P1	Identify, establish and maintain working collaboration with all Laboratory Response Network (LRN) Sentinel and LRN Clinical Chemistry laboratories.
5.6-P2	Develop and maintain an accurate and current database of contact information and capability for all the Laboratory Response Network (LRN) Sentinel and LRN Clinical Chemistry laboratories.
EQUIPMENT	
5.6-E1	Laboratory equipment to test and evaluate CBRNE agents.
TRAINING	
5.6-T1	Train all LRN Sentinel laboratories in the use of LRN biological agent ruled-out protocols, specimens or isolate referral responsibilities and notification algorithms.
EXERCISES	
5.6-Ex1	Exercises to test select LRN sentinel and LRN clinical chemistry laboratories

Objective 5.7 Strengthen Public Health Surveillance and Epidemiological Investigation

Bay Area public health agencies have the ability to create, maintain, support, and strengthen routine surveillance and detection systems and epidemiological investigation processes, as well as to expand these systems and processes in response to incidents of public health significance. This includes the ability to identify potential exposure to disease, mode of transmission, and agent.

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Objective 5.7 Implementation Steps and Resource Elements

PLANNING	
5.7-P1	Develop plans, procedures, and protocols for investigating a potential disease outbreak.
5.7-P2	Develop and maintain procedures for identification of disease, vector and epidemic.
TRAINING	
5.7-T1	Training for staff on activities required to conduct epidemiological surveillance and detection including exposure and disease detection, surveillance, analysis, reporting, and use of equipment.
EXERCISES	
5.7-Ex1	Exercises to evaluate epidemiological surveillance and detection.

Objective 5.8 Enhance Fatality Management

Bay Area agencies, e.g., law enforcement, public health, healthcare, emergency management, and medical examiner/coroner) are able to coordinate (to ensure the proper recovery, handling, identification, transportation, tracking, storage, and disposal of human remains and personal effects; certify cause of death; and facilitate access to mental/ behavioral health services to the family members, responders, and survivors of an incident.

Objective 5.8 Implementation Steps and Resource Elements

PLANNING	
5.8-P1	Ensure plans are in place to allow for the contracting or use of private sector resources in support of mass fatality to include the use of just in time contracts for body storage, etc.
EQUIPMENT	
5.8-E1	Acquire and sustain mass fatality equipment as called for in the Bay Area Regional Catastrophic Incident Mass Fatality Plan.
5.8-E2	Acquire authorized and needed body storage equipment as agreed to by the region.
TRAINING	
5.8-T1	Provide training on the implementation of the Bay Area Regional Catastrophic Incident Mass Fatality Plan.
5.8-T2	Conduct training on mass fatality equipment.
EXERCISES	
5.8-Ex1	Conduct exercises to test and evaluate the Bay Area Regional Catastrophic Incident Mass Fatality Plan across all phases – trauma, contamination and pandemic.

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GOAL 6	Mission Area(s)	National Priorities	Core Capabilities	State Strategy
STRENGTHEN EMERGENCY PLANNING AND CITIZEN PREPAREDNESS CAPABILITIES	Response	Strengthen Planning and Citizen Preparedness Capabilities	Community Resilience	Goal 4: Enhance Planning and Community Preparedness Capabilities
	Recovery		Public Information and Warning	
			Operational Coordination	
			Situational Assessment	
			Critical Transportation	
			Public and Private Resources	
			Mass Care Services	

Community Resiliency

The Bay Area has long viewed emergency and community planning and preparedness as a core element of homeland security. In 2007-2008 the region developed a community preparedness program guide to help identify local best practices concerning social marketing programs as they relate to community preparedness, determine national best practices for citizen preparedness programs, and assess the effectiveness of the various characteristics of community preparedness programs available in the Bay Area. The program guide is a valuable tool to assist the region, sub-regions and jurisdictions in their development of community preparedness programs for all hazards. The program guide also serves as a key element and implementation tool for each of the objectives under this Strategic goal.

Effectively communicating threat or disaster risk, warnings, protective actions, and other information to the community continues to gain prominence as a critical element of keeping communities safe before, during, and after disasters. While researchers and practitioners have made significant strides towards identifying risks and establishing new technology protocols and solutions, the challenge of communicating alerts, warnings, and protective actions across multiple independent jurisdictions with a widely diverse population such as those in the Bay Area still needs to be addressed within the region.

In 2012, the Bay Area developed a comprehensive emergency public information and warning assessment and strategic plan. That plan provides the overall blueprint for how the region can strengthen its emergency public information and warning capability. The *Bay Area Homeland*

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Security Strategy tracks and reinforces what the emergency public information and warning strategic plan consists of in more detail.

Coordination of Emergency Operations

An emergency operations center (EOC) is a location from which centralized strategic management of an incident is performed. The EOC is a coordination point, not an incident scene command, control and management center; it does not provide tactical direction to field activities. The EOC may manage multiple incidents that have established incident command posts. The EOC coordinates the delivery of resources to address conditions facing field resources, communicates with the next highest level of level of government to provide information regarding the emergency and the acquisition of resources not readily available within the requesting level of government.

There are numerous EOCs in the Bay Area. Each operational area in the region has an EOC as do several major cities, including the cities of Oakland and San Jose. When activated, an operational area EOC will coordinate mutual aid requests between the county, the operational area member jurisdictions, and the State Regional Emergency Operations Center (REOC). EOCs in the region operate under the SEMS, the NIMS based system for emergency management and its five essential functions: Command or Management, Operations, Planning, Logistics and Finance.

Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities

The Bay Area has an interoperable and standards-based system of multiple emergency public information and warning systems that allows Bay Area leaders and public health and safety personnel to disseminate prompt, clear, specific, accurate, and actionable emergency public information and warnings to all affected members of the community in order to save lives and property concerning known threats or hazards.

Objective 6.1 Implementation Steps and Resource Elements

PLANNING	
6.1-P1	Develop a process for joint regional procurement of future emergency public information and warning tools and for sustaining current emergency public information and warning capabilities. Ensure all equipment purchases are compliant with the Common Alerting Protocol (CAP).
6.1-P2	Review and update Operational Area databases of partner community based organizations and advocacy groups for populations with access and functional needs and/or limited English proficiency.
6.1-P3	Enhance local and regional plans/programs for Joint Information Center (JIC) operations, and develop network-based “virtual” JIC support.
6.1-P4	Update the Regional Emergency Coordination Plan (RECP) and develop an annex to the RECP focused on a regional concept of operations (ConOps) for addressing emergency public information and warning and establishing and operating a regional JIC based on the SEMS, NIMS and the ICS.
6.1-P5	Update local Emergency Operation Plans (EOPs) to include an emergency

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	public information and warning annex or amendment(s) to each base plan.
6.1-P6	Develop policy and guidance for social media use in emergency public information and warning and formally integrate social media activities into Operational Area and regional response plans.
6.1-P7	Develop protective actions for all potential Bay Area hazards and develop science-based warning message templates to communicate effective protective actions to the public.
6.1-P8	Develop plans and procedures for providing timely and effective warning information to isolated populations in the Bay Area.
6.1-P9	Develop or determine a regional shared “clearinghouse” server that uses the CAP standard to activate multiple Operational Area warning output systems (sirens, telephone, email, etc.) concurrently with a common message.
6.1-P10	Implement the federal Integrated Public Information Warning System (IPAWS) and Commercial Mobile Alerting System (CMAS) across the Bay Area.
6.1-P11	Obtain a State of California agreement regarding areas and types of warnings each agency will issue using IPAWS.
ORGANIZATION	
6.1-O1	Develop regional policy and program structures and assign a regional program manager for emergency public information and warning initiatives, and programs.
6.1-O2	Develop an MOU/MOA template for Operational Areas to customize and establish agreements with partner organizations and advocacy groups.
6.1-O3	Establish a regional operational support cell for effective public warning to include necessary MOUs and ConOps.
EQUIPMENT	
6.1-E1	Implement a virtual platform (e.g., UASI web platform) so emergency public information providers and policy makers (e.g., Bay Area Emergency Public Information Network and Emergency Public Information and Warning Work Group) have a mechanism to collaborate.
6.1-E2	Acquire and sustain equipment required to warn isolated populations (e.g., variable message signs to warn transient/commuter populations; sirens and public announcement systems to warn homeless; tone alert radios.
6.1-E3	Acquire and sustain equipment, laptops, tablets and other computing devices, to enable regional Warning Support Cell personnel connectivity to existing warning systems across the region.
6.1-E4	Procure equipment for Operational Areas necessary for integrating with the regional clearinghouse CAP server.
6.1-E5	Obtain IPAWS-certified warning control software packages for Operational Areas.
TRAINING	
6.1-T1	Provide joint training to community based organization (CBO) public information officers and Operational Area emergency management officials on the protocols and procedures for the handling and dissemination of emergency public information and warning to CBO members/constituents.

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6.1-T2	Have all authorized warning originators complete a two-hour online course on IPAWS procedures and appropriate use.
6.1-T3	Provide training in social media use, and establish a regional platform to exchange best practices and develop regional awareness around existing social media capabilities.
6.1-T4	Deliver the California’s Senior Officials Workshop to elected and senior officials across the region with an emphasis on emergency public information and warning.
EXERCISES	
6.1-Ex1	Conduct a regional exercise to evaluate JIC operations.
6.1-Ex2	Conduct exercise(s) that involve those with access and functional needs and isolated populations to evaluate emergency public information and warning capabilities to reach these groups.
6.1-Ex3	Conduct local and regional exercises to test and evaluate regional Warning Support Cell capabilities
6.1-Ex4	Involve local media in exercises to educate all participants on emergency public information and warning roles, responsibilities and capabilities.
6.1-Ex5	Conduct coordinated testing of warning systems from across the region.

Objective 6.2 Strengthen Operational Coordination Capabilities

The Bay Area has a fully integrated response system through a common framework of the Standardized Emergency Management System, Incident Command System and Unified Command including the use of emergency operations centers, incident command posts, emergency plans and standard operating procedures, incident action plans and the tracking of on-site resources in order to manage major incidents safely, effectively and efficiently. EOCs in the Bay Area can effectively plan, direct and coordinate information and activities internally within EOC functions, and externally with other multi-agency coordination entities, command posts and other agencies to effectively coordinate disaster response operations.

Objective 6.2 Implementation Steps and Resource Elements

PLANNING	
6.2-P1	Update or develop jurisdiction emergency operations plans (EOPs) that are compatible and integrate support for unified command during multi agency or multi-jurisdictional operations.
6.2-P2	Develop policies and procedures for utilizing the Law Enforcement Online Virtual Command Center capability at EOCs and other command posts.
6.2-P3	Develop regional plans and procedures to address ICS with a particular focus on unified command for multi-agency events and ensure they are integrated with onsite incident management.
6.2-P4	Ensure Department Operations Centers (DOCs) and EOCs have IT staffing requirements in their activation plans.
6.2-P5	Revise EOC activations plans as necessary to include 24 hour staffing for finance support during an emergency.

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6.2-P6	Ensure that medical and health agencies and personnel are fully integrated in emergency operations plans and standard operating procedures at the regional, operational area, local and field levels.
ORGANIZATION	
6.2-O1	Develop or maintain Type I or II or III or IV incident management team.
6.2-O2	Establish SOPs for addressing staffing issues that area commands cannot address during an incident.
EQUIPMENT	
6.2-E1	Ensure DOCs and EOCs have sufficient information technology equipment and software (WebEOC) that is standardized/interoperable
6.2-E2	Ensure EOCs have operational and redundant communications equipment.
6.2-E3	Acquire and sustain back up power equipment for EOCs as needed.
6.2-E4	Acquire and sustain physical security enhancement equipment for the EOCs.
6.2-E5	Acquire and sustain inspection and screening systems at the EOC as necessary.
TRAINING	
6.2-T1	Ensure all appropriate personnel are trained in NIMS/SEMS incident command and unified command.
6.2-T2	Train personnel in accordance with NIMS/SEMS typing.
6.2-T3	Establish and maintain ICS training benchmarks and metrics and integrate them with relevant regional training plans.
6.2-T4	Provide training on the use of the Law Enforcement Online Virtual Command Center capability.
6.2-T5	Provide FEMA Independent Study Program: IS 700-NIMS, An Introduction; FEMA Independent Study Program: IS 800-National Response Plan, An Introduction; FEMA Independent Study Program: IS 275-EOC Management and Operations training.
6.2-T6	Provide FEMA Independent Study Program: IS 100-Introduction to Incident Command System; FEMA Independent Study Program: IS 200-ICS for Single Resources and Initial Action Incident training.
6.2-T7	Brief or train local chief executives and other key officials of the jurisdiction in the jurisdiction's command, control and coordination plans for large-scale emergencies.
6.2-T8	Establish and train appropriate personnel on standardized reporting format for area commands to utilize during briefings with EOCs and DOCs.
6.2-T9	Provide training to EOC personnel on the NIMS/ICS/SEMS and overall EOC functions and responsibilities in an emergency.
EXERCISES	
6.2-Ex1	Test to ensure all on-site incident management activities are coordinated through the Incident Command System with a focus on testing and evaluating unified command.
6.2-Ex2	Test whether formal operational briefings are conducted at the start of each operational period.
6.2-Ex3	Test whether IAP is re-assessed, revised, distributed, and briefed at least at the start of each new operational period.
6.2-Ex4	Develop exercise program to evaluate the effectiveness EOC incident

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	management processes; communications and standards, and exercise programs for emergency operations plans, policies and procedures.
6.2-Ex5	Test and evaluate the integration of medical and health agencies and personnel in emergency operations plans and standard operating procedures at the regional, operational area, local and field levels.

Objective 6.3 Enhance Critical Transportation Capabilities

The Bay Area can provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people, including those with access and functional needs, and animals, and the delivery of vital response personnel, equipment, and services into the affected incident areas to save lives and to meet the needs of disaster survivors.

Objective 6.3 Implementation Steps and Resource Elements

PLANNING	
6.3-P1	Update, as needed, the Bay Area Regional Catastrophic Earthquake Mass Transportation/Evacuation Plan.
6.4-P2	Evaluate the threats and hazards that may cause the need for large evacuations or sheltering in-place and determine evacuation/shelter zones (the areas where people must evacuate from or shelter within) based upon the potential consequences caused by the incident.
6.3-P3	Develop plans and procedures for evacuation/shelter-in place of access and functional needs populations.
6.3-P4	Develop plans and procedures for sheltering in place during a CBRNE event.
6.3-P5	Develop plans and procedures for evacuation/shelter-in place of companion animals.
ORGANIZATION	
6.3-O1	Develop and distribute public education materials on evacuation/shelter-in-place preparation, plans, and procedures for natural hazards and CBRNE events.
6.3-O2	Pre-arrange contracts and agreements to ensure provision of transportation vehicles (land, air and sea) and drivers during an incident requiring mass evacuations.
EQUIPMENT	
6.3-E1	Traffic control equipment (barriers, cones, directional signals).
TRAINING	
6.3-T1	Provide training on the implementation of the Bay Area Regional Catastrophic Earthquake Mass Transportation/Evacuation Plan.
6.3-T2	Develop and implement programs to train local citizens on evacuation, reentry and shelter-in place processes.
EXERCISES	
6.3-Ex1	Conduct exercises to test and evaluate the Bay Area Regional Catastrophic Earthquake Mass Transportation/Evacuation Plan.

Objective 6.4 Improve Mass Care

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Mass care services, including sheltering, feeding, and bulk distribution, are rapidly, effectively and efficiently provided for the impacted population, including those with access and functional needs, in a manner consistent with all applicable laws, regulations and guidelines.

Objective 6.4 Implementation Steps and Resource Elements

PLANNING	
6.4-P1	Update, as needed, the Regional Catastrophic Mass Care and Sheltering Plan. Ensure the American Red Cross is fully accounted for in planning aspects.
6.4-P2	Develop plans and procedures for mass care involving a CBRNE incident.
6.4-P3	Develop mass care plans at the operational area level that integrate and account for those individuals and families with access and functional needs consistent with state and federal guidelines such as the Americans with disabilities Act.
ORGANIZATION	
6.4-O1	Develop pre-designated vendor agreements, blanket purchase agreements, or MOAs for critical mass care resources (pre-packaged meals ready to eat and ice).
6.4-O2	Develop public education materials concerning mass care services.
6.4-O3	Conduct an inventory of available shelter space for people and companion animals.
EQUIPMENT	
6.4-E1	Acquire, sustain and store directly or through partners mass care equipment such as cots (standard and accessible), blankets, feeding equipment (e.g., food storage containers), food and beverages, first-aid supplies, and animal supplies, etc.
TRAINING	
6.4-T1	Provide mass care training to include a focus on those with access and functional needs.
EXERCISES	
6.4-Ex1	Conduct exercises to test and evaluate the implementation of the Regional Catastrophic Mass Care and Sheltering Plan. Ensure the American Red Cross is an exercise participant.
6.4-Ex2	Test and evaluate the Bay Area’s ability to provide relocation assistance or interim housing solutions for families unable to return to their pre-disaster homes.

Objective 6.5 Increase Community Resiliency

The Bay Area has a formal structure and process for ongoing collaboration between government and nongovernmental resources at all levels to prevent, protect/mitigate, prepare for, respond to and recover from all known threats and hazards.

Objective 6.5 Implementation Steps and Resource Elements

PLANNING	
6.5-P1	Ensure CERT Teams are integrated into ICS/NIMS/SEMS.
ORGANIZATION	
6.5-O1	Establish regional citizen educational programs on personal protective measures,

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	disaster kits and communications plans that can be implemented locally.
6.5-O2	Develop regional public awareness and preparedness campaigns and education materials for access and functional needs populations that can implemented locally.
EQUIPMENT	
6.5-E1	Provide and sustain CERT teams with necessary equipment.
TRAINING	
6.5-T1	Train the public, with an emphasis on citizen corps volunteers, to be aware and to report suspicious items, smells and behavior to local law enforcement (with follow-on reporting by law enforcement to the regional NCRIC for analysis).
6.5-T2	Conduct CERT Team training on integration with first responders through ICS/NIMS/SEMS.
EXERCISES	
6.5-Ex1	Implement an exercise and evaluation process to assess citizen preparedness programs through specific exercises or as part of larger overall exercise
6.5-Ex2	Conduct exercises to test CERT capabilities.

Objective 6.6 Enhance Volunteer Management and Donations

Volunteers and donations within the Bay Area are organized and managed throughout an emergency based upon pre-designated plans, procedures and systems.

Objective 6.6 Implementation Steps and Resource Elements

PLANNING	
6.6-P1	Update, as needed, the Regional Catastrophic Donations Management Plan.
6.6-P2	Develop plans and procedures to improve local government and volunteer organizations’ ability to recruit, screen, credential and manage both pre-affiliated and spontaneous volunteers.
ORGANIZATION	
6.6-O1	Provide standardized outreach to local jurisdictions in multiple languages, increasing the ability to effectively utilize all volunteers as necessary.
EQUIPMENT	
6.6-E1	Acquire and sustain interoperable volunteer management tracking systems. Ensure systems can manage spontaneous volunteers as well as on-call volunteers that can support a variety of capability and mission needs during and after a disaster.
TRAINING	
6.6-T1	Provide training on the implementation of the Regional Catastrophic Donations Management Plan.
6.6-T2	Develop just-in-time training program for volunteers to perform required tasks.
EXERCISES	
6.6-Ex1	Conduct exercises on the implementation of the Regional Catastrophic Donations Management Plan.

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Objective 6.7 Improve Public and Private Services and Resources Management through Critical Resource Logistics

The Bay Area has a system to track and manage critical resources and make them appropriately available to incident managers and emergency responders from across the Bay Area to enhance emergency response operations and aid disaster victims in a cost-effective and timely manner.

Objective 6.7 Implementation Steps and Resource Elements

PLANNING	
6.7-P1	In coordination with the State, develop a comprehensive region-wide system of resource typing, inventoried resources and credentialing (Metrics Project) so as to provide emergency managers and incident commanders and first responders the ability to locate, track and request needed resources in a coordinated and effective manner.
6.7-P2	Develop a regional critical resource logistics plan for catastrophic incident response.
6.7-P3	Develop standardized procedures for utilizing Law Enforcement Online Virtual Command Center to assist with logistics operations.
ORGANIZATION	
6.7-O1	Ensure a logistics planning manager for regional coordination of logistics operations and planning.
6.7-O2	Pre-negotiate vendor contracts for critical resources and essential services.
EQUIPMENT	
6.7-E1	Acquire and sustain CBRNE logistical support equipment.
TRAINING	
6.7-T1	Develop and deliver training in emergency logistics that incorporates linkages among damage/needs assessment, logistics management, and volunteer/donations management.
EXERCISES	
6.7-Ex1	Test and evaluate resource and logistic tracking and recording.

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GOAL 7	Mission Area(s)	National Priorities	Core Capabilities	State Strategy
ENHANCE RECOVERY CAPABILITIES	Recovery	N/A	Infrastructure Systems Economic and Community Recovery	Goal 7: Enhance Recovery Capabilities

The National Recovery Framework

Given the risk of a major disaster occurring in the Bay Area, it is essential for the region to establish both short-term and long-term recovery capabilities. Building recovery capabilities has for some time been a neglected element of homeland security and emergency preparedness. To help address this gap, in September 2011, DHS released the final National Disaster Recovery Framework. The NDRF defines how Federal agencies will organize and operate to utilize existing resources to promote effective recovery and support states, tribes and other jurisdictions affected by a disaster.

The NDRF seeks to define:

- Roles and responsibilities of the newly-proposed recovery coordinators and other stakeholders;
- A coordinating structure, which includes proposed Recovery Support Functions, that facilitates communication and collaboration among all stakeholders;
- Guidance for pre- and post-disaster recovery planning; and
- The overall process by which, together as a nation, we can capitalize on opportunities to rebuild stronger, smarter, and safer communities.

The NDRF compliments and aligns with the National Response Framework (NRF) and utilizes an operational structure to develop a common recovery framework in a manner similar to how the NRF establishes a common response framework. The NDRF replaces the NRF Emergency Support Function #14 (ESF #14) - Long-Term Community Recovery with six Recovery Support functions (RSFs):

- Community Planning and Capacity Building.
- Economic.
- Health and Social Services.
- Housing.
- Infrastructure Systems.
- Natural and Cultural Resources

The Bay Area will utilize the NDRF as a guide for developing its own recovery framework in coordination with the State of California and the Federal Government. In doing so, certain key principles will guide the development of the regional recovery framework:

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- Critical to recovery preparedness is pre-disaster planning, an ongoing responsibility for all levels of governments; individuals and families; the business community; and voluntary, faith-based and community organizations.
- Local governments have primary responsibility for disaster recovery in their community and play the lead role in planning for and managing all aspects of community recovery.
- Partnerships and inclusiveness between local businesses; owners and operators of critical infrastructure and key resources; and voluntary, faith-based, and community organizations are vital.

The Bay Area has significant experience in this area and will build upon that experience to ensure that essential functions from initial damage assessment to housing to economic and community restoration takes place as quickly and as smoothly as possible.

Finally, the NIPP and the CIKR Annex to the NRF provide a bridge between steady-state CIKR protection and resilience programs and incident response. The NDRF links both documents and their related protection and response missions to the recovery mission area. As the Bay Area develops its own recovery framework, it will ensure integration with its CIKR protection and incident response programs where applicable.

Objective 7.1 Strengthen Infrastructure Systems

The Bay Area can provide accurate situation needs and damage assessments by utilizing the full range of engineering, building inspection, and code enforcement services in a way that maximizes the use of resources, aids emergency response, implements recovery operations, and restores the affected area to pre-incident conditions as quickly as possible. The Bay Area can coordinate activities between critical lifeline operations and government operations to include a process for getting the appropriate personnel and equipment to the disaster scene so that lifelines can be restored as quickly and as safely as possible to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery.

Objective 7.1 Implementation Steps and Resource Elements

PLANNING	
7.1-P1	Each Operational Area, and the region as a whole, has a complete inventory of critical lifelines within each Operational Area and across the region.
7.1-P2	Provide assessments, inventories and planning recommendations to mitigate seismic risks in the Bay Area by completing an assessment and inventory of soft story construction in the Bay Area.
7.1-P3	Ensure damage assessment protocols and procedures in the Regional Emergency Coordination Plan are kept up to date.
7.1-P4	In coordination with the State, conduct infrastructure intersection/interdependency analysis and work plans for guiding mitigation projects, response priorities and post-disaster recovery actions within operational areas and across the region.
7.1-P5	Continue to utilize the San Francisco Lifelines Restoration Project as a foundation for regional lifelines restoration planning.
ORGANIZATION	

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7.1-O1	Consistent with the Regional Volunteer Management Plan, develop plans and procedures to recruit volunteers to join assessment teams and conduct structural damage assessments post disasters.
7.1-O2	In coordination with the State sponsored Metrics Project, develop standards and procedures, to include a database to identify qualified contractors offering recovery/restoration services and equipment across the Bay Area.
7.1-O3	Develop qualification and certification standards for paid and volunteer staff.
7.1-O4	Develop and maintain disaster assessment teams per NIMS - Type I, or II, and/or III Disaster Assessment Teams, and Engineering Service Teams.
EQUIPMENT	
7.1-E1	Acquire and sustain technology and systems that can predict the effects of a specific incident or hazard, including estimated damage to the region's transportation system, type, amount and location of debris, and number of buildings severely or completely damaged.
7.1-E2	Acquire, sustain and inventory personal protective equipment for recovery damage assessment teams. Deploy caches of equipment outside danger zones if necessary.
7.1-E3	Acquire and sustain damage assessment data collection system (hardware and software).
7.3-E4	Acquire and sustain back-up generators for short term restoration of lifelines.
TRAINING	
7.1-T1	Provide training to volunteers and paid personnel on damage assessment procedures, plans and equipment.
7.3-T2	Provide training to government entities on the restoration of lifelines process.
EXERCISES	
7.1-Ex1	Ensure damage assessment procedures and mitigation plans and procedures are exercised independently or as part of a regional exercise.
7.1-Ex2	Coordinate with other lifelines companies/sectors to create cross-sector exercises to test restoration plans.

Objective 7.2 Enable Economic Recovery

During and following an incident, the Bay Area can estimate economic impact, prioritize recovery activities, minimize business disruption, and provide individuals and families with appropriate levels and types of relief with minimal delay.

Objective 7.2 Implementation Steps and Resource Elements

PLANNING	
7.2-P1	Develop Regional Recovery Support Function (RSF) or equivalent recovery framework that addresses housing, economic, environmental, infrastructure, and health and social service needs.
7.2-P2	Update, as needed, the Regional Catastrophic Interim Housing Plan.
ORGANIZATION	

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7.2-O1	Identify responsibilities for the position of a Regional Disaster Recovery Coordinator (RDRC) or equivalent, and resources for regional recovery support functions.
TRAINING	
7.2-T1	Develop and implement recovery training and education as a tool for building recovery capacity and making it available to all other stakeholders.
7.2-T2	Provide training on the implementation of the Regional Catastrophic Interim Housing Plan.
EXERCISES	
7.2-Ex1	Exercise stabilization and recovery plans to include the Regional Catastrophic Earthquake Interim Housing Plan through specific exercises or as part of larger overall regional exercise.

Objective 7.3 Improve Environmental Response Health and Safety Capabilities

After the primary incident, the Bay Area is able to assess, monitor, perform cleanup actions, including debris and hazardous waste removal, and provide resources to prevent disease and injury through the quick identification of associated environmental hazards.

Objective 7.3 Implementation Steps and Resource Elements

PLANNING	
7.3-P1	Update, as needed, the Regional Catastrophic Debris Removal Plan.
7.3-P2	Develop plans to enhance capacity of sewage treatment facilities for major disasters.
7.3-P3	Pre-identify potential routes for debris removal and debris management.
7.3-P4	Develop debris removal and debris management annexes to EOPs where necessary.
TRAINING	
7.3-T1	Provide training on environmental health to pre-designated managers, responders, and volunteers of mass-care operations.
7.3-T2	Provide training to environmental health strike teams.
7.3-T3	Develop and conduct emergency response training relevant to all waste water systems including field staff and managers of waste water programs, waste water utilities, public health, and emergency management.
EXERCISES	
7.3-Ex1	Conduct, or include as part of broader exercises, tests and evaluations of environmental health teams in the region.
7.3-Ex2	Conduct, or include as part of broader exercises, tests of waste water sewage facilities' capacity.

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GOAL 8	Mission Area(s)	National Priorities	Core Capabilities	State Strategy
ENHANCE HOMELAND SECURITY EXERCISE, EVALUATION AND TRAINING PROGRAMS	All	All	All	Goal 9: Enhance Homeland Security Exercise, Evaluation and Training Programs

Bay Area Training and Exercise Program

The Bay Area’s multi-year Homeland Security Exercise, Evaluation and Training Program is designed to address regional goals, build towards and test against target capabilities within this Strategy, and improve the operational readiness of the homeland security system in the Bay Area across the full spectrum of prevention, protection, mitigation, response and recovery.

The training and exercise goal is primarily focused on developing a system and framework to implement the training and exercise needs identified in the implementation steps within the other objectives in the *Strategy*. The goals, vision and mission of the Bay Area’s training and exercise program are set forth below.

Goals: The Training and Exercise Planning Workgroup will engage in fair, open and transparent processes throughout the planning and implementation processes to ensure that products and services rendered, are equitably distributed, are at a reasonable cost, and ensure fair competition.

Vision: To promote, encourage and provide training and exercise opportunities for our emergency response workforce, and by ensuring our workforce is maintained in a state of readiness and competencies for all communities in region.

Mission: Utilizing the Training and Exercise Strategic Plan, the Alameda County Sheriff’s Office, on behalf of the Bay Area UASI program, will promote equitable distribution of training and exercise funds amongst various agencies and disciplines within the region.

Figure 8: Bay Area Planning and Investment Process

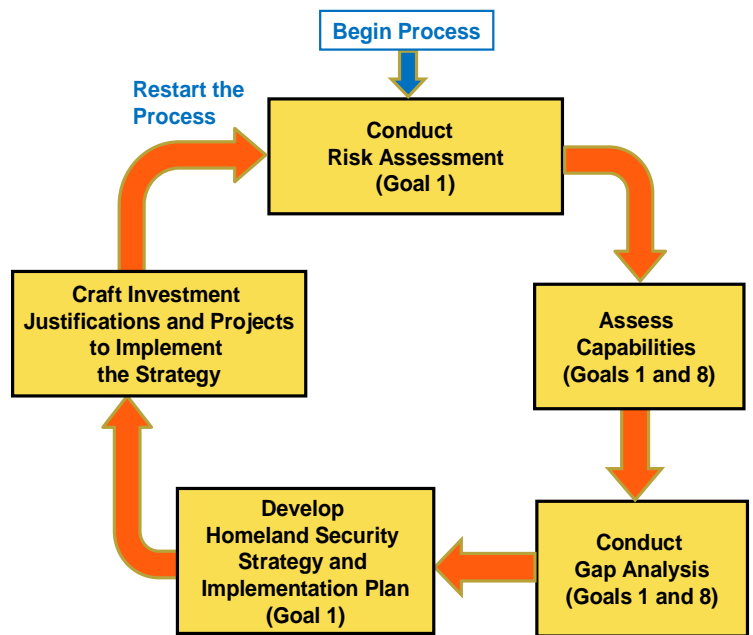


Figure 8 above reinforces the Bay Area planning process chart by demonstrating once again the cyclical nature of the risk management and planning process and how Goals 1 and 8 play an overarching role in this process by first identifying the priority risks faced by the Bay Area jurisdictions, and the priority capabilities needed to address those risks. This is followed by constructing the exercise and evaluation means to determine if those priority capabilities are

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being enhanced through the implementation steps within each of the objectives throughout the Strategy.

Training and exercises provide the means to enhance, test, and evaluate the Bay Area's proficiency in homeland security generally and the priority capabilities in particular. Exercises, as discussed in the Strategy Evaluation Section, are a critical means of determining whether the Bay Area is actually enhancing those priority capabilities designed to reduce the region's risk. Any assessment program must include a robust exercise and evaluation element to ensure data from simulated incidents are integrated with self-assessment data, and of course, real-world incident data collected both during and after the incident when available. Such a process will put the Bay Area in the best possible position to understand whether it is truly enhancing capabilities and overall preparedness.

Training and Exercises Plans and Procedures

The Bay Area will develop and maintain a regional training program that covers all public safety, health and medical agencies and support entities. The program will be managed by an executive agent/program manager. The executive agent/program manager will oversee, either directly or through separate contracts, all training for the region and will manage all training reimbursements from other member jurisdictions and manage the overall program for the entire Bay Area. The purpose is to build a training program that unifies all jurisdictions within the Bay Area toward a common set of goals while recognizing that each jurisdiction and discipline will have differing levels of capabilities and training needs.

The Bay Area's jurisdictions possess differing levels of preparedness regarding terrorism prevention, protection, mitigation, response, and recovery capabilities. Because of these differences, the Bay Area exercise and evaluation program will use a building-block approach in the design of the overall exercise program. This building-block approach ensures successful progression in exercise design, complexity, and execution, and allows for the appropriate training and preparation to take place in the jurisdiction or area conducting the exercise. Exercises conducted at all jurisdictional levels within the Bay Area – local, operational area, full region - should follow the planning, training, exercise, and improvement plan cycle. As the cycle indicates, it is recommended that jurisdictions accomplish the following specific planning steps prior to conducting an exercise:

- Assess current operations plans for completeness and relevance
- Assess the current level of training and operational plan familiarity for all relevant agencies within the jurisdiction
- Conduct necessary training for all relevant agencies
- Train personnel on newly received equipment
- Conduct exercises using equipment, training, and operations plans
- Develop an After Action Report (AAR) that captures the lessons learned.

The exercise progression for each jurisdiction is to move from a seminar to a table top, to a functional exercise, and finally, to a full scale exercise. These particular exercise types allow for a logical progression of regional and jurisdictional preparedness by increasing in size, complexity, and stress factor, while allowing for significant learning opportunities that

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effectively complement, build upon, and directly lead into one another. This model is flexible enough to allow for the addition of other desired exercise types.

The Bay Area’s Urban Shield Exercise

Urban Shield is a national model, full-scale exercise, designed to assess and validate the speed, effectiveness and efficiency of capabilities, as well as test the adequacy of regional policies, plans, procedures and protocols. Urban Shield incorporates regional critical infrastructure, emergency operations centers, regional communication systems, equipment and assets, as well as personnel representing all aspects of emergency response including intelligence, law enforcement, explosive ordnance disposal units, fire, EMS, etc. The Urban Shield exercise is unique because of its focus on training during the exercise. This training provides first responders, homeland security officials, emergency management officials, private and non-governmental partners, and other personnel with the knowledge, skills, and abilities needed to perform key tasks required in large-scale disasters.

Objective 8.1: Strengthen the Regional Exercise and Evaluation Program

The Bay Area exercise program tests and evaluates the region’s enhancement and/or sustainment of the right level of capability based on the risks faced by the region with an evaluation process that feeds identified capability gaps and strengths directly into the region’s risk management and planning process for remediation or sustainment.

Objective 8.1 Implementation Steps and Resource Elements

PLANNING	
8.1-P1	Develop and maintain a comprehensive regional exercise plan and program for the development and conduct of exercises based on risk and capability needs that cover the spectrum of prevention, protection, mitigation, response and recovery mission areas.
8.1-P2	Coordinate with local jurisdictions to incorporate locally driven needs into the regional exercise plan.
8.1-P3	Collaborate with local jurisdictions to develop regional exercise goals to meet multiple exercise requirements and foster participation in regional exercises.
8.1-P4	Coordinate regional exercises with State driven exercises (Golden Guardian) to reduce duplication of effort.
8.1-P5	Design After Action Reports and improvement plans that are built from capability targets and capture capability proficiencies and gaps that can be readily assessed and quantified for planning purposes.
8.1-P6	Host agency of major exercise(s) should reconvene participants to review key findings to ensure lessons learned are identified and taken back to all involved agencies.
8.1-P7	The exercise program management office will evaluate the feasibility of developing a regional exercise calendar.
8.1-P8	The exercise program management office will review HSEEP portal for trends on best practices and lessons learned and report this information to the Training and Exercise Committee on an as needed basis.

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EQUIPMENT	
8.1-E2	Procure authorized and necessary equipment to conduct exercises.
TRAINING	
8.1-T1	Train exercise planning and evaluation staff at the regional and jurisdictional levels on exercise design, management and evaluation procedures.
EXERCISES	
8.1-Ex1	Develop at least one, regional multi-disciplinary full-scale exercise consistent with the identified theme of the annual statewide exercise and run the exercise at multiple locations with multiple partners in the region.
8.1-Ex2	Conduct multiple exercises at the sub-regional and jurisdictional level annually.

Objective 8.2 Enhance the Regional Training Program

The Bay Area has a multi-discipline multi-jurisdictional risk and capabilities based training program that enhances and sustains priority capabilities in order to mitigate the region’s most pressing risks.

Objective 8.2 Implementation Steps and Resource Elements

PLANNING	
8.2-P1	Develop and maintain a comprehensive regional training plan and program for the development and conduct of training based on risk and capability needs that cover the spectrum of prevention, protection, mitigation, response and recovery mission areas.
EQUIPMENT	
8.2-E1	Materials and supplies, reproduction of materials, and such other equipment needed to conduct the training and support the training program.
8.2-E2	Tools and systems to document and manage training programs.
TRAINING	
8.2-T1	Implement training to all disciplines based on the regional training program.

SECTION 7

STRATEGY IMPLEMENTATION

7.1 Implementation Overview

With the development and update of the *Strategy*, the Bay Area must have a comprehensive implementation process to ensure the data and priorities encapsulated in the *Strategy* actually drive the region's policies, structures, projects and investments. This requires assigned roles and responsibilities and a process and tools that link the Bay Area's investments back to the *Strategy's* goals and objectives.

The Bay Area UASI Management Team will have overall responsibility for managing and tracking implementation of the *Strategy*. This will include day-to-day management of the *Strategy* and ensuring that it is updated and followed. This will be done through the development of investment justifications and annual reporting (discussed in the following section).

The Bay Area's strategic approach to implementing the *Strategy* through investing will be premised on two overarching principles:

- First, sustain current priority programs and capabilities in the region.
- Second, close gaps in capabilities with an emphasis on those capabilities that have the highest risk relevance and the largest capability gaps

Given the current fiscal reality of strained state and local budgets, the Bay Area will strive to integrate the various homeland security and preparedness grants that flow into the region to include those from DHS and HHS. This will be done while respecting the responsibilities and authorities vested in individual grantees.

7.2 Investment Justifications

The purpose of submitting investment justifications to DHS is to obtain grant funding necessary to implement the goals and objectives of this *Strategy*. Investment justifications that fall outside the goals and objectives of this *Strategy* will not be submitted. In addition, funding received from other sources related to homeland security may be leveraged in accordance with the goals and objectives of this *Strategy*.

The investment justification process must be viewed as the culmination of a comprehensive homeland security planning and implementation process and not simply as a ninety-day application writing event in order to ask for money from the federal government. This process requires specific steps and management in order to ensure the region as a whole presents a unified investment picture to DHS and the State of California. As such, the *Strategy* outlines, at a high level, those steps that, at a minimum, must be taken in order to ensure the regions operates efficiently and effectively in the planning and investment process.

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7.3 Strategy Implementation Process

While the specific details concerning the *Strategy's* implementation process may vary from year to year, certain fundamentals will be followed to ensure the region is achieving and tracking its homeland security goals and objectives. For the Bay Area, given its size and diversity, the process will involve a combination of jurisdictional, sub-regional and region-wide efforts and responsibilities.

7.3.1 Strategy Implementation Guidance

For each fiscal year, the UASI Management Team will develop specific strategy implementation guidance for working groups and applicants to follow during each investment justification cycle relative to the UASI grant program. This will include planning timelines, investment strategies and priorities for a given grant cycle, grant guidance to include funding allocation formulas and allowable spending areas, project templates, and such other materials and policies as necessary.

7.3.2 Project Template

For the UASI grant cycle, and as part of the implementation guidance, the UASI Management Team will develop a project template to be used by applicants to outline proposed projects. The template will be designed to link projects to the Bay Area Strategy by requiring applicants to link to the goals, objectives and implementation steps, including POETE elements, within the Strategy. It is through the project templates that the Bay Area will first link dollars to objectives and in turn link capabilities to dollars to help better answer where and how the region is better prepared.

7.3.3 Project Development

The project template designed by the Bay Area UASI Management Team will be a primary tool with which to vet proposed projects by the region's stakeholders. Only upon vetting by the Bay Area UASI Management to ensure compliance with grant guidelines and UASI policy or the work group shall a project be put forward for final approval by the Approval Authority to implement a specific goal and objective(s) in the Strategy.

With support from the Management Team, the entities, planning hubs, or work groups responsible for overseeing the implementation of the goals and objectives in the Strategy will work with project managers and others to track whether an implementation step within each objective is complete, partially complete or ongoing and report this information to the Advisory Group and Approval Authority as necessary. A complete step is one that is finished and requires no additional resources for implementation. A partially complete step is one where some, but not all, of the step is finished and requires additional resources for completion. An ongoing step is one that may be finished insofar as the plan has been written or the equipment has been purchased but where additional resources are need for sustainment.

SECTION 8

STRATEGY EVALUATION

8.1 Evaluation Overview

In order to truly understand what value the Bay Area is getting for its homeland security investments, the region must have a consistent mechanism by which to measure the effectiveness of the homeland security activities – plans developed, personnel hired, organization and operations conducted, equipment purchased, number of people trained, and exercises conducted – generated through those investments.

In 2011, the Bay Area conducted a preliminary analysis of UASI grant effectiveness. The report qualitatively and quantitatively documented progress made by the Bay Area in building capabilities, reducing risk, and enhancing regional preparedness through investments that support the goals and objectives in the *Bay Area Homeland Security Strategy*, which aligns with the National Preparedness Guidelines and supports the implementation of the State of California Homeland Security Strategy and the National Security Strategy. The report serves as a baseline for future assessments and evaluations of how the region is implementing its Strategy and the effectiveness of the grant programs and other funding sources utilized to do so.

8.2 The Evaluation Process

The long-term goal for the Bay Area is to build a process and tools in order to qualitatively and quantitatively document progress made by the Bay Area in building capabilities, reducing risk, and enhancing regional preparedness based on implementing the goals and objectives outlined in the *Bay Area Homeland Security Strategy*. The result will be the *Bay Area Effectiveness Report*.

Where the *Bay Area Homeland Security Strategy* presents what the region needs to achieve or sustain in homeland security, the *Bay Area Effectiveness Report* presents what the region has actually accomplished in the area of homeland security as a result of investments called for in the *Strategy* from different sources, including local budgets, state budgets, and grants.

Built into each goal and objective in this *Strategy* is a previously conducted risk and capabilities assessment and gap analysis which helped prioritize each goal and objective and identify gaps in each capability. To measure the implementation of the *Strategy*, the Bay Area will evaluate each goal and its related objectives based upon the following high level evaluation guidelines the implementation of which shall be developed and coordinated by the UASI Management Team:

- Update the outcome for each objective in the *Strategy*. This outcome will set the agreed upon broad and overall target level of capability upon which evaluation for each objective will be based.
- Develop Bay Area specific preparedness and performance measures and targets based on the TCL/Core Capabilities List and NIMS/SEMS resource types as well as other resources. Both the TCL and the NIMS/SEMS have laid out critical tasks, preparedness and performance measures, targets and standards for resources that can serve as useful

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indicators regarding the current level of preparedness in a given capability area. However, they are not tailored to the specific needs of a given jurisdiction or region. Therefore, the Bay Area must define those targets, measures, and metrics specifically for the region and will consider doing so according to the Core Capabilities or some combination of the TCL and Core Capabilities in the near future.

- Conduct the exercise and evaluation program. The Bay Area's HSEEP must be **designed upfront** to test whether target capability performance outcomes and related critical tasks are being achieved. Exercises should be designed around testing and evaluating the region's ability to prevent, protect against, mitigate, respond to and recover from the highest risk terrorism scenarios against the highest risk CIKR across the region.
- Inventory investments and projects based on each capability. Each objective has a set of implementation steps broken out by POETE, which coincides with the funding solution areas allowed under most DHS grant programs. That data will be used directly against the performance measures to help determine increases in capability and better understand allocation of resources by capability.

8.3 Methods for Evaluation

Evaluating the implementation of this *Strategy* will be done in the form of measuring whether risk based capability needs are being implemented and tracked. Each objective in this *Strategy* has a set of outcomes in the form of performance objectives tied to it. Those outcomes will form the basis or capability target for measuring whether the region is on pace to achieving or maintaining that objective. It must be noted that each outcome in this *Strategy* is set at the UASI regional level and not at the jurisdictional level within the Bay Area UASI. Thus, each jurisdiction may have different outcomes based on jurisdictional level planning efforts that may be influenced by unique risk and need factors.

To date, there is no single agreed upon method to assess capabilities. Rather, there are a number of data sources and methodologies to help with this process each of which the Bay Area will utilize in the evaluation process:

- Self-Assessments
- Performance based assessments (real world and exercise events)
- Modeling and simulation

8.3.1 Self Assessments

Self-assessments are those where members of the Bay Area homeland security community convene to evaluate their capability levels based on a series of questions and defined metrics and measures. These assessments can cover a wide array of capabilities and public safety disciplines or be targeted to a specific capability or function (e.g., law enforcement). While useful, self-assessments are subjective and can be influenced by factors including the number and type of attendees at the assessment and the questions asked or not asked.

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Self-assessments will most often involve workshops, interviews or webinars whereby subject matter expert participants will be asked a series of questions to get an understanding of how they view their level of ability to perform a specific task or set of tasks during a given scenario. For example, SWAT or bomb squad team-based capability assessments can begin with audits of team equipment, supplies, and training records, as well as on site visits to interview team members to capture data.

The Bay Area has undergone several self-assessments over the last several years, most recently in 2009, 2010 again in 2011. In 2009, the Bay Area conducted a region-wide assessment whereby subject matter experts from across the region evaluated the region's level of ability within each of the 37 Target Capabilities. A similar assessment was conducted in 2010 with the difference being the assessment was broken out into four assessments. In 2011, a region wide assessment was once again conducted along with assessments at each of the 12 operational areas.

8.3.2 Performance Based Assessments

Performance-based assessments are most common in the form of exercises, although an ability to track and measure performance during a real world incident would provide the most accurate picture of capability. For the Bay Area, performance-based exercises should be based on testing the region's ability to prevent, protect against, mitigate, respond to and recover from the highest risk terrorism scenarios against the highest risk CIKR as outlined in the risk overview section of the *Strategy*. The Bay Area's primary mechanism for performance based assessment is the Urban Shield Full Scale Exercise conducted annually.

Urban Shield tests the Bay Area's ability to manage numerous on-going critical incidents through the use of multiple incident commands. The critical incidents take place in a variety of venues over an extended period of time. The exercise requires full implementation of the components of the NIMS and SEMS. An Incident Command System (ICS) structure, with four Area Commands and a Department Operations Center are implemented to manage this extremely large exercise.

8.3.3 Modeling and Simulation Assessments

Quantitative capability models can be used to assist with planning and resource allocation, and to help determine capability gaps. Models can provide an independent baseline estimate of required levels of capability for a given jurisdiction or the region, based upon national averages, demographic information, and risk criteria. These models can use quantitative data to inform investment decisions by estimating the full lifecycle costs of achieving a given level of a capability, identifying capability gains from investments, and optimizing placement of new resources.

Appendix A

Crosswalk of Target and Core Capabilities

Target Capability	Core Capability
Planning	Planning
Critical Infrastructure Protection	Physical Protective Measures
Information Gathering and Indicators and Warnings	Intelligence and Information Sharing
Intelligence and Information Sharing and Dissemination	
Intelligence Analysis and Production	
Risk Management	Risk Management for Protection Programs and Activities
Responder Safety and Health	Environmental Response Safety and Health
WMD/HazMat Response	
Environmental Health	
Counter-Terrorism and Law Enforcement	Interdiction and Disruption
Emergency Public Safety and Security Response	On-Scene Security and Protection
Explosive Device Response Operations	
On-site Incident Management	Operational Coordination
EOC Management	
Emergency Public Information and Warning	Public Information and Warning
Triage and Pre-Hospital Treatment	Public Health and Medical Services
Medical Surge	
Mass Prophylaxis	
Isolation and Quarantine	
Laboratory Testing	
Epidemiological Surveillance and Investigation	
Medical Supplies Management and Distribution	
Communications	Operational Communications
Fire Incident Response Support	Public and Private Services and Resources
Volunteer Management and Donations	
Critical Resource Logistics and Distribution	
Search and Rescue (Land Based)	Mass Search and Rescue
CBRNE Detection	Screening, Search and Detection
Restoration of Lifelines	Infrastructure Systems
Structural Damage Assessment	
Economic and Community Recovery	Economic Recovery
Community Preparedness and Participation	Community Resilience
Citizen Evacuation and/or Shelter In-Place	Critical Transportation
Mass Care	Mass Care Services
Fatality Management	Fatality Management Services
Food and Agriculture Safety and Defense	Supply Chain Integrity and Security
Animal Disease Emergency Support	
Not Applicable	Risk and Disaster Resilience Assessment
	Situational Assessment
	Long Term Vulnerability Reduction
	Access Control and Identity Verification
	Forensics and Attribution
	Threat and Hazard Identification
	Cyber Security
	Health and Social Services
	Housing
	Natural and Cultural Resources

Appendix B Record of Changes

The following table tracks the significant changes made to the *Strategy*. Revisions that should be documented include the following:

- Updates in risk and capability assessment information.
- Completion or removal of implementation steps
- Addition, reprioritization or other change in goals and objectives following a capabilities assessment or similar analysis.
- Changes in Urban Area organization.
- Changes in vision or mission.

Date of Change	Page(s)	Brief Description of Changes
October 2013	26	Added new section 4.5 on the Bay Area Compendium of Core Capabilities.
October 2013	32	Section 5.4 Critical Infrastructure and Key Resources. The number of CIKR is now nearly 13,000.
October 2013	34	Section 5.5 Risk Profile. Updated threats and hazards and likelihood versus risk comparison.
October 2013	36	Added new section 5.5.3 on the Threat Hazard Identification and Risk Assessment.
October 2013	37-38	Section 5.6 Asset Risk by Sector. Update all data.
October 2013	39-41	Section 5.7 Capabilities Assessment. Updated risk relevant capabilities list and table linking threats, CIKR sectors and capabilities all based on new data and taxonomy of Core Capabilities.
October 2013	50-54	Goal 2, added new introductory section on cyber security
October 2013	60-61	Goal 2, Objective 2.4. Added new cyber security objective and implementation steps.
October 2013	84-89	Section 6. Reorganized goals and objectives. Moved objective 4.5 to new 6.7 and moved objective 4.7 to new 6.2.



To: Bay Area UASI Approval Authority
From: Catherine Spaulding, Assistant General Manager
Date: October 10, 2013
Re: Item 5: Priority Capability Objectives for the FY14 Funding Cycle

Staff Recommendation:

Approve the proposed priority capability objectives as funding criteria to be included in the 2014 Project Proposal Guidance for proposed projects.

Action or Discussion Items:

Action

Discussion/Description:

I. Background

The Bay Area's risk management program identifies capabilities that are the most "risk relevant" and where gaps in capability are of the greatest significance so that the region may target investments in this area. This prioritized and strategic approach is consistent with federal guidance and frameworks. In the past, at the direction of the Approval Authority, the Management Team developed priority capability objectives to help guide the proposal and selection process of projects. The Management Team included these priority capability objectives in the project proposal guidance as funding criteria.

II. List of 2014 Priority Capability Objectives

The following is the proposed list of the 2014 priority capability objectives. Please see last section for a detailed description of each objective.

2014 Priority Capability Objectives

Goal 1 Strengthen the Regional Risk Management and Planning Program
Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities
Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities
Objective 2.1 Enhance Intelligence Collection, Analysis and Sharing
Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities
Objective 2.3 Increase Critical Infrastructure Protection
Objective 2.4 Enhance Cyber Security.
Goal 3 Strengthen Communications Capabilities
Objective 3.1 Enhance Operational Communications Capabilities
Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities
Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support
Objective 4.2 Strengthen Mass Search and Rescue Capabilities
Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations
Objective 4.5 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities
Objective 4.6 Improve Environmental Response/Health and Safety through Responder Safety and Health
Objective 4.7 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response
Goal 5 Enhance Medical and Public Health Preparedness
Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment
Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities
Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities
Objective 6.2 Strengthen Operational Coordination Capabilities
Objective 6.5 Increase Community Resiliency
Goal 7 Enhance Recovery Capabilities
Objective 7.1 Strengthen Infrastructure Systems
Goal 8 Enhance Homeland Security Exercise, Evaluation and Training Programs
8.1 Strengthen the Regional Exercise and Evaluation Program

III. Comparison to Prior Year

The list of 2013 priority capability objectives is consistent with that of prior years with two key exceptions:

- (1) The addition of the cyber security objective, which has been clearly identified by the region as a critical priority; and
- (2) The need to streamline the total number of priority objectives and leave out those that have lower risk and gap analysis ratings or are not otherwise strategic choices given the current efforts of the region. This is important to accomplish given limited resources and FEMA's mandate to take a risk-based approach with UASI investments.

Towards these ends, the Management Team proposes the elimination of the following priority capability objectives that had been included last year in 2012:

- Strengthening medical countermeasure dispensing. We recommend removing this objective because a regional exercise is taking place on this topic in 2014, and the region should not further invest until the after action information has been synthesized.
- Enhance fatality management. We recommend removing this objective because this capability will be exercised in the 2013 Urban Shield exercise, and the region should not further invest until the after action information has been synthesized.
- Enhance critical transportation capabilities. We recommend removing this objective because this capability traditionally has not been a priority area for the region, and it was not ranked in the top half of the risk and gap analysis.
- Improve mass care. We recommend removing this objective because this capability scored low in the risk and gap analysis, and to date the region has significantly invested in this area and built significant capability.
- Enable economic recovery. We recommend removing this objective because this capability scored low in the risk and gap analysis, it has not been a priority area for the region, and many such investments in this area are assumed by the private sector.

We will update our priority capability objectives next year for the FY15 grant cycle as appropriate.

IV. Methodology

The Management Team developed the 2013 priority capability objectives based on the risk and gap analysis presented in the 2012-2015 Bay Area Homeland Security Strategy (page 41). Most of the core capabilities that had gaps that "need extra attention" or "need attention" have been included in the priority capability objectives. In addition, several core capabilities that are particularly relevant to the highest risk hazards that we face in the Bay Area have been included given the critical need to sustain such capabilities. (Such highest risk hazards include terrorist use of explosives, earthquakes, floods, and contagious biological incidents.)

V. Detailed Description of 2013 Priority Capability Objectives

Goal 1 Strengthen the Regional Risk Management and Planning Program
Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities: The Bay Area is able to identify and assess the threats and hazards that pose the greatest risk to the whole community. The region can prioritize and select appropriate capability-based planning investments and solutions for prevention, protection, mitigation, response, and recovery concerning those risks; monitor the outcomes of allocation decisions; and undertake corrective and sustainment actions.
Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities
Objective 2.1 Enhance Intelligence Collection, Analysis and Sharing: The Bay Area has systems and procedures to effectively collect, analyze and timely share information and intelligence across federal, state, local, tribal, territorial, regional, and private sector entities to achieve coordinated awareness of, prevention of, protection against, mitigation of, and response to a threatened or actual terrorist attack, major disaster, or other emergency. This involves sustaining and building upon the region's intelligence fusion center to include the ability to identify and systematically report suspicious activities associated with potential terrorist or criminal pre-operational planning and logistics.
Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities: The Bay Area's law enforcement community (federal, state and local) and other public safety agencies can conduct forensic analysis and attribute terrorist threats and acts to help ensure that suspects involved in terrorist and criminal activities related to homeland security are successfully identified, deterred, detected, disrupted, investigated, and apprehended.
Objective 2.3 Increase Critical Infrastructure Protection: The Bay Area can assess the risk to the region's physical and cyber critical infrastructure and key resources from acts of terrorism, crime, and natural hazards and deploy a suite of actions to enhance protection and reduce the risk to the region's critical infrastructure and key resources from all hazards. This includes a risk-assessment process and tools for identifying, assessing, cataloging, and prioritizing physical and cyber assets from across the region.
Objective 2.4 Enhance Cyber Security: Cyber security programs at the County and major city level meet the Federal Information Processing Standards 200 - Minimum Security Requirements for Federal Information and Information Systems. The region and its jurisdictions can detect malicious cyber activity, conduct technical counter-measures against existing and emerging cyber-based threats, and quickly recover from cyber-attacks in order to ensure the security, reliability, integrity, and availability of its electronic systems and services.
Goal 3 Strengthen Communications Capabilities
Objective 3.1 Enhance Operational Communications Capabilities: The emergency response community in the Bay Area has the ability to provide a continuous flow of mission critical voice, data and imagery/video information among multi-jurisdictional and multidisciplinary emergency responders, command posts, agencies, and Bay Area governmental officials for the duration of an emergency response operation. The Bay Area can also re-establish sufficient communications infrastructure within the affected areas of an incident, whatever the cause, to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery.

Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities

Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support: Fire service agencies across the Bay Area can dispatch initial fire suppression resources within jurisdictional response time objectives, and firefighting activities are conducted safely with fire hazards contained, controlled, extinguished, and investigated, with the incident managed in accordance with local and state response plans and procedures.

Objective 4.2 Strengthen Mass Search and Rescue Capabilities: Public safety personnel in the Bay Area are able to conduct search and rescue operations to locate and rescue persons in distress and initiate community-based search and rescue support-operations across a geographically dispersed area. The region is able to synchronize the deployment of local, regional, national, and international teams to support search and rescue efforts and transition to recovery.

Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations: Public safety bomb squads in the Bay Area are able to conduct threat assessments; render safe explosives and/or hazardous devices; and clear an area of explosive hazards in a safe, timely, and effective manner. This involves the following steps in priority order: ensure public safety; safeguard the officers on the scene (including the bomb technician); collect and preserve evidence; protect and preserve public and private property; and restore public services.

Objective 4.5 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities: Responders in the Bay Area are able to conduct health and safety hazard assessments and disseminate guidance and resources, including deploying HazMat response and decontamination teams, to support immediate environmental health and safety operations in the affected area(s) following a WMD or HazMat incident. Responders are also able to assess, monitor, clean up, and provide resources necessary to transition from immediate response to sustained response and short-term recovery.

Objective 4.6 Improve Environmental Response/Health and Safety through Responder Safety and Health: The Bay Area can reduce the risk of illnesses or injury to first responders, first receivers, medical facility staff members, or other skilled support personnel as a result of preventable exposure to secondary trauma, chemical/radiological release, infectious disease, or physical/emotional stress after the initial incident or during decontamination and incident follow-up.

Objective 4.7 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response: Public safety agencies within the Bay Area are able to keep the public and critical infrastructure safe by securing a particular incident scene and maintaining law and order following an incident or emergency to include managing the criminal justice prisoner population.

Goal 5 Enhance Medical and Public Health Preparedness

Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment: Emergency medical services (EMS) resources across the Bay Area can effectively and appropriately be dispatched (including with law enforcement tactical teams) to provide pre-hospital triage, treatment, transport, tracking of patients, and documentation of care appropriate for the incident, while maintaining the capabilities of the EMS system for continued operations up to and including for mass casualty incidents.

Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities

Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities: The Bay Area has an interoperable and standards-based system of multiple emergency public information and warning systems that allows Bay Area leaders and public health and safety personnel to disseminate prompt, clear, specific, accurate, and actionable emergency public information and warnings to all affected members of the community in order to save lives and property concerning known threats or hazards.

Objective 6.2 Strengthen Operational Coordination Capabilities: The Bay Area has a fully integrated response system through a common framework of the Standardized Emergency Management System, Incident Command System and Unified Command including the use of emergency operations centers (EOCs), incident command posts, emergency plans and standard operating procedures, incident action plans and the tracking of on-site resources in order to manage major incidents safely, effectively and efficiently. EOCs in the Bay Area can effectively plan, direct and coordinate information and activities internally within EOC functions, and externally with other multi-agency coordination entities, command posts and other agencies to effectively coordinate disaster response operations.

Objective 6.5 Increase Community Resiliency: The Bay Area has a formal structure and process for ongoing collaboration between government and nongovernmental resources at all levels to prevent, protect/mitigate, prepare for, respond to and recover from all known threats and hazards.

Goal 7 Enhance Recovery Capabilities

Objective 7.1 Strengthen Infrastructure Systems: The Bay Area can provide accurate situation needs and damage assessments by utilizing the full range of engineering, building inspection, and code enforcement services in a way that maximizes the use of resources, aids emergency response, implements recovery operations, and restores the affected area to pre-incident conditions as quickly as possible. The Bay Area can coordinate activities between critical lifeline operations and government operations to include a process for getting the appropriate personnel and equipment to the disaster scene so that lifelines can be restored as quickly and as safely as possible to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery

Goal 8 Enhance Homeland Security Exercise, Evaluation and Training Programs

8.1 Strengthen the Regional Exercise and Evaluation Program: The Bay Area exercise program tests and evaluates the region's enhancement and/or sustainment of the right level of capability based on the risks faced by the region with an evaluation process that feeds identified capability gaps and strengths directly into the region's risk management and planning process for remediation or sustainment.



To: Bay Area UASI Approval Authority

From: Bruce Martin, Fire Chief (ret), Fremont

Date: October 10, 2013

Re: Item #6: Incident Management Teams (IMT) Assessment and Framework

Staff Recommendations:

None

Action or Discussion Items:

Discussion

Discussion/Description:

Incident Management Teams are teams of people trained in various NIMS positions to provide generally non-operational work (e.g. planning, logistics, information) at larger, emerging incidents. Type 3 teams are locally staffed and provide surge capacity in the early hours of an incident up to days or weeks.

In 2011, two Type 3 Incident Management Teams (IMTs) existed in the UASI region (East Bay and Santa Clara County) and two more were in formation or exploring formation (Marin County/North Bay and Monterey/Santa Cruz). Fremont Fire Department was awarded \$50,000 in UASI funds to perform an assessment of the Bay Area's Incident Management Teams and to describe the current situation and best practices in the future. Active conversations about IMTs were occurring in several counties within the UASI region. My hope was that the assessment could help us understand local circumstances and avoid unnecessary competition and duplication of training and equipment funding.

The report was prepared by Citygate Associates and was the result of three stakeholder meetings; 69 stakeholders participated in the three sessions. Participants came from law enforcement (18), emergency management (14), fire protection (30), public health (1), and emergency medical

service (6). All counties and the three major cities were represented at at least one of the three sessions.

The study makes ten recommendations consistent with the findings:

1. Provide regional oversight or clearing house
2. Adopt the FEMA standard model
3. Develop a marketing strategy
4. Develop a training plan
5. Develop a logistical support system
6. Develop region-wide dispatch
7. Develop an activation doctrine
8. Develop a demobilization doctrine
9. Conduct performance reviews
10. Identify, describe and develop a governance model.

The action items are likely to be implemented at a local team level. Finding #10 is particularly important. A governance model is necessary to coordinate, oversee, fund, dispatch, train, certify, and in other ways assist the IMTs in the Bay Area. The Bay Area UASI General Manager has asked the CBRNE Working Group, in conjunction with the Training Group, to follow up on this recommendation. By assigning the work to the CBRNE Group, where the gap for incident command has been identified in past strategies, the notions and practices identified in the report are best assessed and implemented, allowing for local context and realities.

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AGENDA ITEM # 6

APPENDIX A

INCIDENT MANAGEMENT
TEAM TYPE-3

BAY AREA UASI INCIDENT MANAGEMENT TEAM TYPE-3 IMT Assessment and Framework

Presented by:



Citygate Associates, LLC

October 10, 2013



PROJECT GOAL

This is a research project sponsored by the Bay Area UASI looking into the current and future use of Incident Management Teams to assist with the management of disasters, planned events, and terrorist attacks.

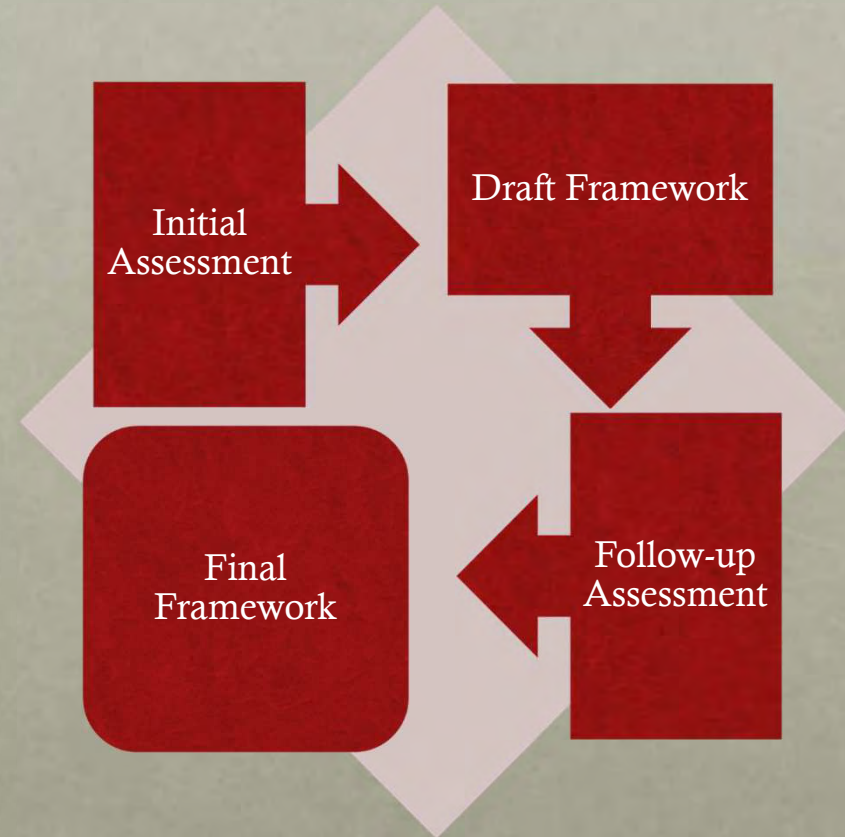
We added to the body of knowledge by listening to the stakeholders, reviewing the literature, and referring to our IMT experiences



THE RESEARCH PROCESS

The research followed a four step process:

- 1. Perform an initial assessment with as many stakeholders as possible**
- 2. Develop a draft framework that incorporated the findings**
- 3. Using the draft framework as guidance conduct follow-up assessment with key stakeholders**
- 4. Develop and present the final framework**



STUDY PARTICIPANTS

- 69 stakeholders participated in the three listening sessions
- Participants came from law enforcement (18), emergency management (14), fire protection (30), public health (1), and emergency medical service (6)
- All counties and the three major cities were represented at the one of the three listening sessions



IMT-3 UTILIZATION

Actual incidents where Bay Area Type 3 IMTs have been utilized include:

- San Rafael Hostage Situation
- Murder Suspect Search Santa Clara County
- Missing Child Search Morgan Hill
- Wildland Fire Response Mt. Diablo
- Pipeline Explosion Walnut Creek



KEY RECOMMENDATIONS

The study makes ten recommendations consistent with the findings

1. Provide regional oversight or clearing house
2. Adopt the FEMA standard model
3. Develop a marketing strategy
4. Develop a training plan
5. Develop a logistical support system
6. Develop region-wide dispatch
7. Develop an activation doctrine
8. Develop a demobilization doctrine
9. Conduct performance reviews
10. Identify, describe and develop a governance model



RECOMMENDATION # 1 OVERSIGHT

A form of oversight or clearinghouse at the regional level needs to be established to coordinate the formation, training, equipment support, and response parameters of the Bay Area UASI sponsored IMT-3s



RECOMMENDATION #2

TEAM COMPOSITION

- Adopt the FEMA standard and organization model team composition
- Develop region-wide standards for team positions
- Permit some variation, at least early in the process



RECOMMENDATION # 3

MARKETING

- Develop three marketing strategies:
 - Agencies supporting teams – what membership entails, costs, benefits, and types of incidents and events
 - Agencies utilizing teams – identification of teams, availability, coverage area, training level and readiness
 - Public perception – the value of outside assistance in certain circumstances



RECOMMENDATION # 4

TRAINING

- Regional oversight provides qualification and certification
- Adopt realistic currency provisions
- Develop position Task Books that are not reliant on actual incident response
- Develop coordination with Cal Fire to mentor key positions



RECOMMENDATION # 5

LOGISTICAL SUPPORT

- Develop a universal list of support items for all authorized teams
- Fund the purchases utilizing grant funds
- Coordinate group purchases



RECOMMENDATION # 6

DISPATCHING

- Develop region-wide dispatching system
 - Maintain team membership lists and alert levels
 - Rotate teams on a calendared basis
 - Dispatch them to qualifying incidents and events



RECOMMENDATION # 7

ACTIVATION

- Develop an activation doctrine that is both specific enough to provide solid guidance and at the same time flexible enough to meet a variety of situations
 - Develop appropriate transition documents and checklists
 - Develop standard delegations of authority



RECOMMENDATION # 8

DEMOBILIZATION

Develop a region-wide demobilization doctrine modeled on the Cal Fire Type 1 Teams



RECOMMENDATION # 9

PERFORMANCE REVIEW

- Adopt a performance review that has three components:
 - Findings and recommendations to share
 - A process to provide feedback to the requesting agency
 - A follow-up process to address deficiencies



RECOMMENDATION # 10

GOVERNANCE

Fund a separate effort to identify, describe and gain stakeholder approval for a governance model for the Bay Area IMT-3s



WRAP-UP

Questions??





To: Bay Area UASI Approval Authority

From: Jeff Blau, Interoperability Project Manager

Date: October 10, 2013

Re: Item 7: South Bay Computer Aided Dispatch to Computer Aided Dispatch Project Update

Staff Recommendation:

Discussion only

Action or Discussion Item:

Discussion only

Discussion/Description:

- (a) **SVRIA - Dx** (Silicon Valley Regional Interoperability Authority – Data Exchange) is a data interoperability solution where the first application implemented will be a CAD-to-CAD project. Most Computer Aided Dispatch (CAD) systems within the County do not currently allow for data sharing between 9-1-1 centers, thus requiring telephone contact between centers and the re-entry of incident data, increasing response times. The CAD-to-CAD project will provide connectivity between disparate CAD systems by utilizing a data broker concept. This project is scheduled for 2013 implementation and will use EComm, Santa Clara County's Microwave Radio Network for data transport. The core data broker tool will serve as a platform for other future data sharing initiatives.
- (b) Other similar project's in the Bay Area include the recently completed CAD interface between Oakland Fire and the Alameda County Regional Emergency Communications Center (ACRECC). In order to facilitate the dispatching of ambulances by ACRECC into the City of Oakland, a CAD to CAD system was put into place. When an incident is entered into either CAD system, it displays in both CAD systems so both centers know status. ACRECC dispatches for the contract ambulance firm in Alameda County so the CAD to CAD was imperative for operational efficiencies.

In the North Bay, The County/City of Napa and CAL FIRE are developing a software solution allowing the County/City of Napa's Intergraph CAD to work with CAL FIRE Northrop Grumman – Altaris CAD. The County of Sonoma Redwood Empire Dispatch

Communication Authority (REDCOM) dispatch center uses the Intergraph CAD as does the City of Napa for the County of Napa. This project will install the software interface developed by Intergraph Corporation with the County/City of Napa for the County of Napa and with CAL FIRE, allowing the County of Napa, CAL FIRE and the County of Sonoma to communicate with each other and act as backups to each other.

With us today are Bert Hildebrand, Director of Communications and Eric Tingom, Senior IT Project Manager from Santa Clara County will provide a project update and review of the SVRIA – Dx, CAD-to-CAD Project.

SVRIA - Dx Project Back Ground:

Activities occurring during daily public safety operations, acts of terrorism and natural disasters create a critical demand to have seamless integration and sharing of data and resources that can save precious minutes and dramatically enhance interagency coordination and effectiveness. An integrated data sharing solution between geographically related communities is a significant unmet need in emergency preparedness and response. At the moment of an incident or disaster, time spent calling for resources between communities can slow response and recovery efforts. The future of emergency resource management is based on integration between disparate dispatch systems to allow the display of resources from neighboring jurisdictions and assist in the dispatch of these resources.

The Computer Aided Dispatch (CAD) systems used to track and dispatch first responder personnel and resources in Santa Clara County communities are not fully linked and dispatchers in the thirteen primary 9-1-1 centers have no way to quickly and effectively share vital information. This results in time-consuming phone calls to communicate critical data and/or locate and request the dispatch of the closest available resources.

The Silicon Valley Regional Interoperability Project (SVRIA) proposed to link Public Safety Answering Point (PSAP) centers in both Santa Clara County and Santa Cruz County through their associated Computer Aided Dispatch (CAD) software. This was to allow electronic sharing of data across the multiple agencies and jurisdictions and improve the dispatching of fire and medical resources. In addition to two-way data sharing, part of the project's vision is to provide a visual common regional operating picture (CROP) or "Chief's View" of the Silicon Valley Interoperability Project Data Exchange (SVRIA-DX) infrastructure's presentation of active events and resources shared by all jurisdictions.

The following jurisdictions are schedule to participate through each of their respective public safety departments:

1. County of Santa Clara
2. County of Santa Cruz
3. City of Campbell
4. City of Gilroy
5. City of Los Altos
6. Town of Los Altos Hills
7. Town of Los Gatos
8. City of Milpitas
9. City of Monte Sereno
10. City of Morgan Hill
11. City of Mountain View
12. City of Palo Alto
13. City of San Jose
14. City of Sunnyvale
15. City of Santa Clara
16. City of Saratoga
17. South Santa Clara
County Fire District
(SSCCFD)
18. San Jose State
University (SJSU)

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AGENDA ITEM # 7

APPENDIX A

SVRIA-DX CAD
INTEGRATION /
COMMON REGIONAL
OPERATING PICTURE

SVRIA-DX CAD Integration / Common Regional Operating Picture

Bay Area UASI
Approval Authority Meeting
October 10, 2013



Agenda

- Project Overview
- Current Status
- Demonstration
- Issues and Challenges
- Next Steps

Project Overview:

The System:

- Satisfies the SVRIA and Participating Agencies immediate needs and has the capacity to expand to meet future needs
- Designed integration and linking of various CAD systems will achieve:
 - The ability and capacity for participating PSAP CAD systems to automatically export event and resource data to, and import similar information from, other CAD systems
 - NIEM standardization of system data to improve data sharing, analysis and reporting capabilities
 - Improve Situational Awareness
 - Web-based presentation of event and resource data on common GIS map with local control will allow PSAPs and Agencies greater customization of their views to improve local situational awareness and promote use
 - Web-based browser display is available to anyone with authorized right to view data (e.g., field responders, administrative/management, EOC, etc.)
 - Creates flexible data exchange platform that will support future expansion and incorporation of additional data exchange projects (e.g., Record Management System (RMS), etc.)



CAD-to-CAD/CROP DX Project Goals & Objectives

Goal: To improve regional interoperable information data sharing between fifteen (15) Public Safety Answering Points (PSAPs) disparate Computer Aided Dispatch (CAD) systems.

Objectives: To design, develop, and implement an integrated system that:

- Creates the ability and capacity for each participating PSAP CAD system to export, import and display event and resource data created for or received from one or more other PSAP CAD systems
- Supports law enforcement, fire and medical core business objectives
- Enhances and facilitates interoperable cross-agency sharing of information
- Streamlines dispatch operations and improve operational efficiencies which result in reduced service response times
- Supports local and regional automated resource sharing such as auto and mutual aid
- Provides better access to and display of event and resource status data for improved situational awareness and decision making by dispatch and field personnel
- Provides a flexible data exchange portal solution that will provided a basis for future expansion and incorporation of additional data exchange projects.



Project Background (continued):

Participating Public Safety Answering Points (PSAPs) and Agency Disciplines:

1. County of Santa Clara - Primary & Secondary PSAP – SO, FD & Medical (EMS/Rural Metro)
2. County of Santa Cruz - Primary & Secondary PSAP – Consolidated PD, FD & Medical
3. City of Campbell – Primary PSAP - Campbell PD
4. City of Gilroy – Primary & Secondary PSAP – Gilroy PD & FD
5. City of Los Altos – Primary PSAP – Los Altos PD
6. Town of Los Gatos/City of Monte Sereno – Primary PSAP – Los Gatos PD
7. City of Milpitas – Primary & Secondary PSAP – Milpitas PD & FD
8. City of Morgan Hill – Primary PSAP – Morgan Hill PD
9. City of Mountain View - Primary & Secondary PSAP – Mt. View PD & FD
10. City of Palo Alto - Primary & Secondary PSAP – Palo Alto PD, FD & Medical
11. City of San Jose - Primary & Secondary PSAP – San Jose PD & FD
12. City of Santa Clara - Primary & Secondary PSAP – Santa Clara PD & FD
13. City of Sunnyvale - Primary & Secondary PSAP – Sunnyvale PD & FD
14. South County Fire Protection District – Secondary PSAP – CAL FIRE (MH FD)
15. San Jose State University – Primary PSAP - San Jose State University PD



SVRIA-DX: What is included

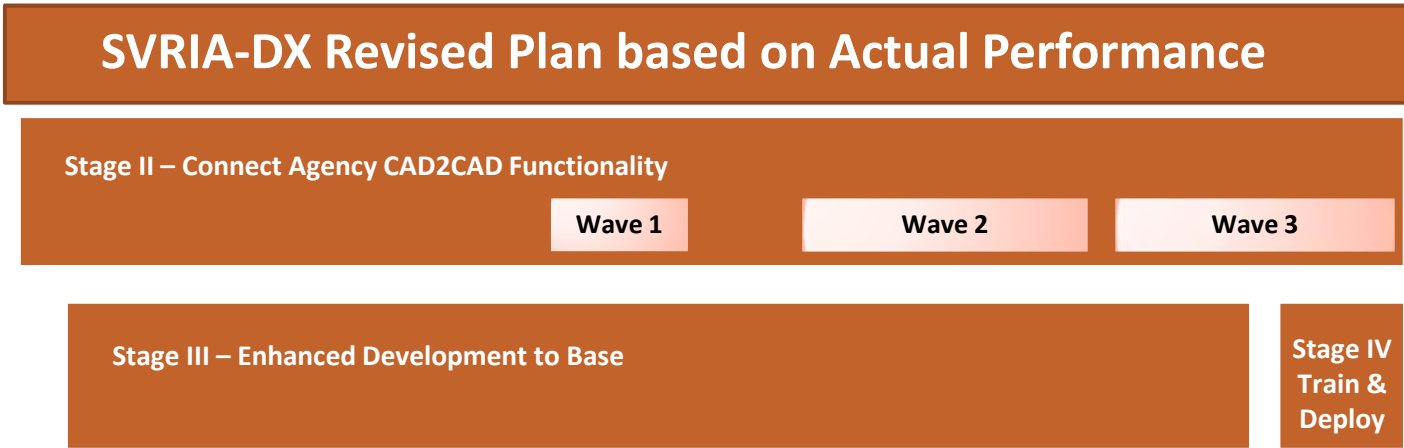
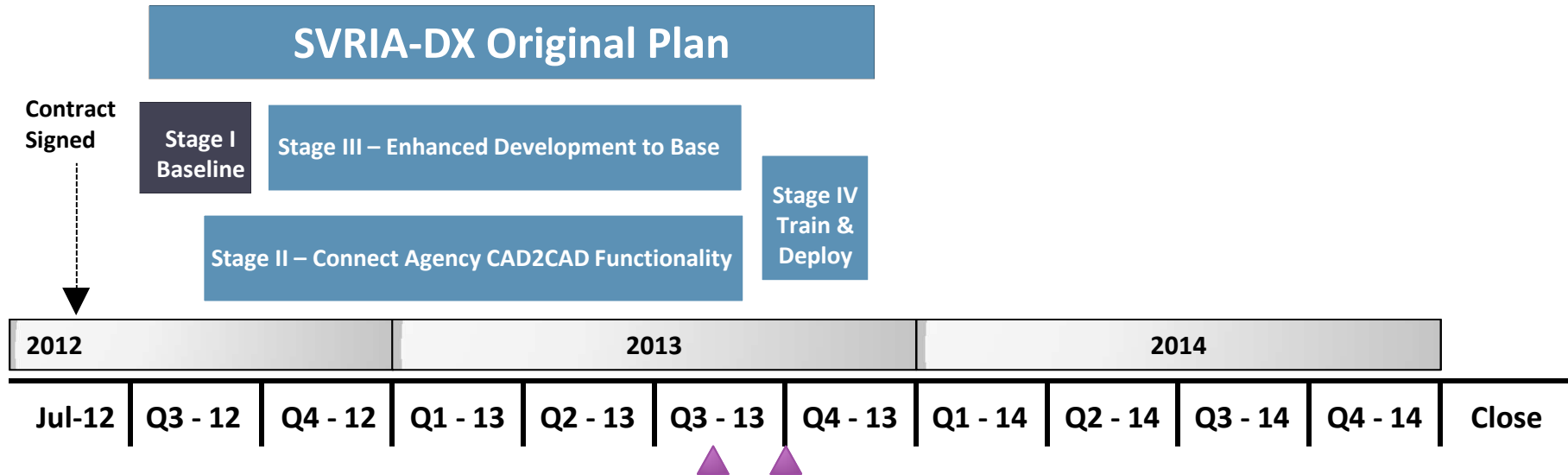
- **Portal**
(stakeholder access point)
- **CORE**
(Brain for all exchanges)
- **CAD2CAD**
(Dispatcher to Dispatcher Network)
- **GIS**
(Single Base Map for Common Regional Operating Picture)

- **Grant Funding Covers all RFP Requirements – Development, Testing, Deployment, Training and 1 year Maintenance**

Demonstration of Portal



SVRIA - DX Timeline Original vs. Revised



▲ Milestone(s) – 8/31/2013 and 10/28/2013

SVRIA - DX Project Status As Of September 2013

1. **First Wave PSAP integration – by November 2013**
 - County of Santa Clara (SO, FD, and Medical)
 - City of Milpitas (PD and FD)
 - City of San Jose Fire (FD)
 - South Santa Clara County Fire District - CAL Fire - Morgan Hill (FD)

2. **Basic Common Regional Operating Picture (CROP) Portal– by November 2013**
 - Events, Resources, Status on a Common GIS Map

3. **Second Wave PSAP integration & CROP Enhancements – June 2014**
 - County of Santa Cruz (Consolidate PD, FD, and Medical)
 - CAL Fire – Felton (FD)
 - Town of Los Gatos/ City of Monte Sereno (PD and FD)
 - City of Morgan Hill (PD)
 - City of Santa Clara (PD and FD)
 - City of Sunnyvale (PD and FD)

4. **Third Wave PSAP integration & CROP Enhancements – December 2014**
 - City of Campbell (PD)
 - City of Gilroy (PD and FD)
 - City of Los Altos (PD)
 - City of Mountain View (PD and FD)
 - City of Palo Alto (PD, FD and Medical)
 - City of San Jose (PD)



Remaining Challenges

- **Multi Agency Information Sharing And Business Process Issues**
 - Implement PSAP Participation And Reimbursement Agreements (SLA/MOU)
 - Implement JPA Cost Recovery For Future Core System Technology Sustainment
- **On-going Funding Needs**
 - One-Time Grant Funding vs. Sustainable Funding Support Models
- **Local Agency Gaps**
 - Technology
 - Budgets
 - Competing Resource Needs
 - Major Metropolitan vs. Smaller Rural Areas
- **PSAP Vendor Availability**
 - Vendor Scheduling Issues vs. Project Timelines
 - PSAP On Differing CAD Versions
 - National Standards Awareness

Contacts

Bert Hildebrand
County Communications Director
Bert.Hildebrand@911.sccgov.org

Madelyn (Lyn) Thiessen
County Application Services Division Manager
Madelyn.Thiessen@isd.sccgov.org

Eric Tingom, Project PM
County Senior IT Project Manager
Eric.Tingom@isd.sccgov.org



Questions?





To: Bay Area UASI Approval Authority
From: Tristan Levardo, CFO
Date: October 10, 2013
Re: Item 8: FY2011 UASI Expenditure Report

Staff Recommendation:

Information only

Action or Discussion Item:

Discussion

Discussion/Description:

The sub-recipient performance period for the FY2011 UASI grant is May 1, 2012 – November 30, 2013, with projects funding personnel extended up to January 31, 2014. The final claims for reimbursement for non-personnel items are due no later than January 4, 2014.

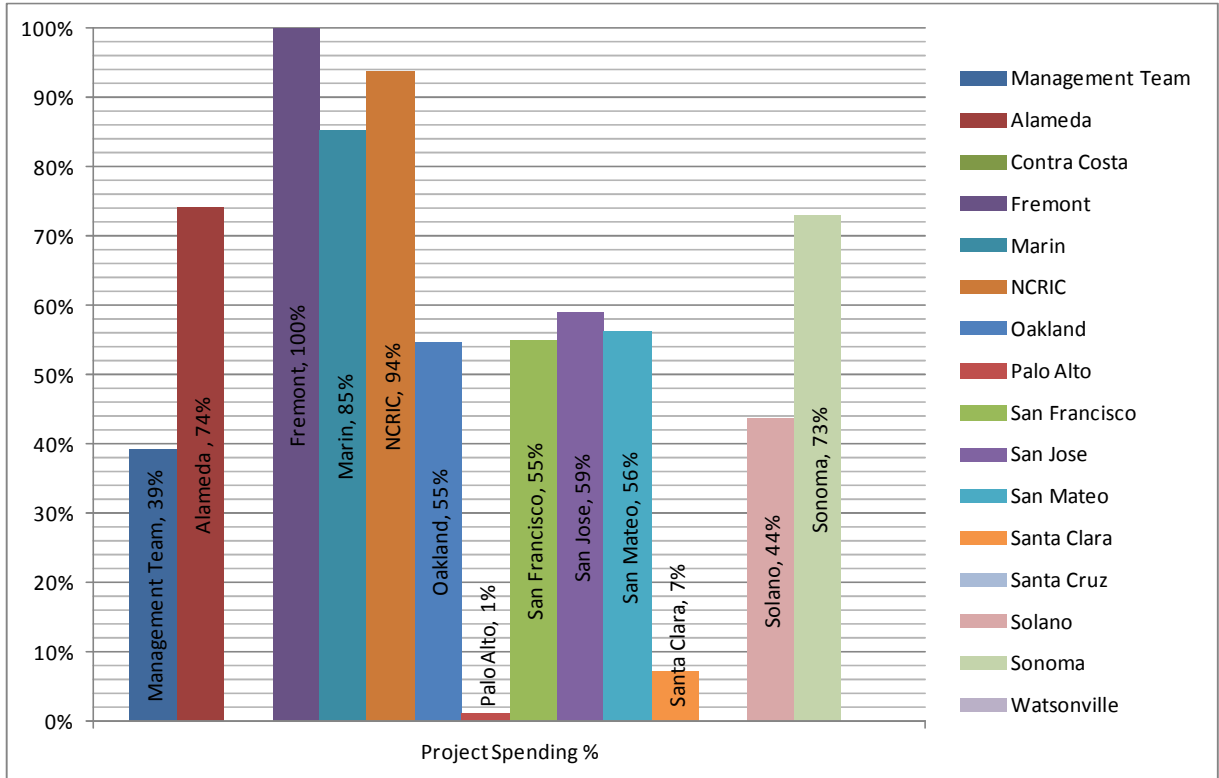
Overall spending has reached 57% of the total budget. The Management team is forecasting full spending of this grant as all projects have been deemed on target.

Financial Information:

Jurisdiction	Budget	Spent	Spent %	Obligated
Management Team	3,418,019	1,338,463	39%	2,079,556
Alameda	7,726,555	5,740,357	74%	1,986,198
Contra Costa	170,000			170,000
Fremont	750,000	748,770	100%	1,230
Marin	1,309,829	1,116,340	85%	193,489

NCRIC	3,393,158	3,182,074	94%	211,084
Oakland	1,100,730	603,041	55%	497,689
Palo Alto	120,000	1,410	1%	118,590
San Francisco	6,094,896	3,350,729	55%	2,744,167
Jurisdiction	Budget	Spent	Spent %	Obligated
San Jose	1,548,879	911,107	59%	637,772
San Mateo	4,214,854	2,368,215	56%	1,846,639
Santa Clara	4,413,890	313,827	7%	4,100,063
Santa Cruz	302,000			302,000
Solano	287,050	125,051	44%	161,999
Sonoma	637,100	464,445	73%	172,655
Watsonville	60,000			60,000
Total	35,546,960	20,263,829	57%	15,283,131

Project Spending by Jurisdiction (%)





To: Bay Area UASI Approval Authority
From: Catherine Spaulding, Assistant General Manager
Date: October 10, 2013
Re: Item #9: Grants Manual

Staff Recommendation:

Approve the updated Bay Area UASI Grants Manual

Action or Discussion Items:

Action

Discussion/Description:

The Grants Manual provides the standards, policies, and processes that govern grant and project management and administration for the Bay Area UASI. Its purpose is to provide clarity and transparency around Bay Area UASI grant and project management, ensure efficiency and compliance in implementation, and ultimately to maximize the impact of federal funds to enhance the safety of Bay Area residents. The manual includes:

- Roles and responsibilities of the entities participating in grant and project management;
- The lifecycle for Bay Area UASI projects, from identification through planning, execution, close out, and evaluation
- Compliance requirements
- Procurement processes
- Financial administration
- Required templates and forms

This manual is mandated by the Bay Area UASI Approval Authority By-laws (August 2013 Section 8.8) and was first provided in early 2012. In addition, the Department of Homeland Security requires documentation of grant management and administration in order to access funding from the Homeland Security Grant Program.

We have made considerable clarifications and enhancements to the document in order to bring it into better alignment with current practices. These changes increase the transparency and accountability of our operations as well as remove redundant steps to improve efficiency. Updates include:

- Adding a fraud policy
- Adding a section on compliance
- Updating the text given our streamlined proposal selection process approved in September 2013
- Updating the text given our streamlined process for when MOUs need to be formally amended
- Updating the text to include clarifications on approving changes to projects, as approved by the Approval Authority in September 2012 and subsequently in the updated By-laws
- Updating the text as appropriate given updates to the Master MOU and By-laws approved in August 2013, such as the role of the Advisory Group
- Providing more detail on required standards during financial monitoring

The Bay Area UASI Management Team will review and update this manual on a regular basis to ensure compliance with federal and state grant guidelines and to incorporate policies and procedures approved by the Approval Authority. The General Manager will present proposed changes to this manual to the Approval Authority for adoption.

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AGENDA ITEM # 9

APPENDIX A

UPDATED GRANTS
MANUAL



**Bay Area Urban Areas
Security Initiative (UASI)**

Grants Manual

October 2013

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I. INTRODUCTION

A. Scope and Purpose

This manual provides the standards, policies, and processes that govern grant and project management and administration for the Bay Area UASI. Its purpose is to provide clarity and transparency around Bay Area UASI grant and project management, ensure efficiency and compliance in implementation, and ultimately to maximize the impact of federal funds to enhance the safety of Bay Area residents. This manual includes:

- Roles and responsibilities of the various entities participating in grant and project management;
- The lifecycle for Bay Area UASI projects, from identification through planning, execution, close out, and evaluation;
- Compliance requirements;
- Procurement processes;
- Financial administration; and
- Required templates and forms.

This manual is mandated by the Bay Area UASI Approval Authority By-laws (August 2013 Section 8.8) and was first provided in 2012. This updated version was presented to and approved by the Approval Authority on October 10, 2013. In addition, the Department of Homeland Security requires documentation of grant management and administration in order to access funding from the Homeland Security Grant Program.

The Bay Area UASI General Manager will review and update this manual on a regular basis to ensure compliance with federal and state grant guidelines and to incorporate policies and procedures approved by the Approval Authority. The General Manager will present proposed changes to this manual to the Approval Authority for adoption.

B. Affected Parties

The standards, policies, and processes contained herein apply to all participants in the Bay Area UASI– the Approval Authority, Advisory Group, Management Team, Working Groups, Member Jurisdictions, Contractors, Affiliated Non-Employees, and other similar individuals.

C. Federal UASI Program Background

The Urban Areas Security Initiative (UASI) is administered at the federal level by the Department of Homeland Security through its Homeland Security Grant Program within the Federal Emergency Management Agency (FEMA). The Homeland Security Grant Program provides federal funding to help state and local agencies enhance their capabilities to prevent, deter, respond to, mitigate and recover from terrorist attacks, major disasters, and other emergencies. The Homeland Security Grant Program encompasses several interrelated federal grant programs, including UASI, that together fund a range of preparedness activities as well as management and administration costs.

Since its inception in 2003, the intent of the federal UASI program has been to enhance regional preparedness in major metropolitan areas in support of the National Preparedness Guidelines. The UASI grant program provides financial assistance to address the unique multi-discipline Planning, Organization, Equipment purchase, Training, and Exercise (POETE) needs of high-threat, high-density urban areas, and to assist these areas in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism. Activities implemented with UASI funds must support terrorism preparedness, response, and recovery in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

Urban areas must use UASI funds to employ a regional approach to overall preparedness and adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, response, and recovery activities within the region.

D. Bay Area UASI Background

The Bay Area UASI improves capacity to prevent, protect against, respond to, mitigate and recover from terrorist incidents or related catastrophic events by providing planning, 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 Benito, San Francisco, San Mateo, Santa Clara, Santa Cruz, Monterey, 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.

II. ROLES AND RESPONSIBILITIES

Governed by Memoranda of Understanding (MOUs) between participant jurisdictions, the Bay Area UASI is directed by an Approval Authority. Working Groups provide subject matter expertise and regional input, and management and administration is handled by the Bay Area UASI Management Team. Sub-recipient jurisdictions implement local procurement processes to expend grant funds.

A. Approval Authority

The top tier of governance in the Bay Area UASI is the twelve-member Approval Authority that includes representation from each of the three major cities of Oakland, San Francisco, and San Jose and the counties in which they are located (Alameda, San Francisco, and Santa Clara) as well as the counties of Contra Costa, Marin, Monterey, San Mateo, and Sonoma. The California Office of Emergency Services (Cal OES) Assistant Secretary is a non-voting member.

The Approval Authority provides policy direction and is responsible for final decisions regarding grant investments. The role of the Approval Authority in grants management includes:

- ***Regional Coordination and Strategy*** – Coordinating a regional approach to prevention, protection, response, mitigation, and recovery to homeland security threats as well as approving the Bay Area Homeland Security Strategy.
- ***Risk Management*** – Adopting a regional risk management framework to administer the UASI Homeland Security Grant Program and related grants, consistent with grant guidelines and direction provided by the Department of Homeland Security and the California Office of Emergency Services (Cal OES).
- ***Grant Approval*** – Approving UASI and related grant applications and grant allocation methodologies.
- ***Management Team Budget*** – Approving the annual budget for the Bay Area UASI Management Team, based on a July 1 – June 30 fiscal year.
- ***Participation in Implementation*** – Participating in the implementation of regional initiatives that are consistent with the mission and decisions of the Approval Authority.

Approval Authority meetings take place monthly. See the August 2013 Approval Authority By-laws and Memoranda of Understanding (MOU) for more information.

B. Advisory Group

The Advisory Group includes representation from the twelve Bay Area county operational areas, the three major cities, the Northern California Regional Intelligence Center (NCRIC)/Fusion Center, as well as the Coastal Regional Administrator for the California Office of Emergency Services (Cal OES). The Advisory Group may have both a Chair and a Vice-Chair that are selected from among the membership. It is facilitated by the Management Team, which participates in the group as a non-voting member to provide technical input.

The primary role of the Advisory Group is to review proposed projects as well as how these projects are identified and prioritized. At the request of the General Manager, the Advisory Group recommends projects for approval to the Approval Authority. The Advisory Group also provides oversight to the Training and Exercise Program as well as reviews key risk management documents, such as the Threat Hazard Identification Risk Assessment (THIRA) and priority capability objectives. Advisory Group meetings take place at least quarterly and/or on an as-needed basis.

C. Management Team

The Bay Area UASI Management Team is comprised of a general manager, assistant general manager, chief financial officer, as well as project, grant, and administrative staff. The General Manager appoints members to the Management Team to implement the policies of the Approval Authority. The members of this Team are employees of or contractors with the member jurisdictions of the Approval Authority, are assigned to work full-time on the Management Team, and are paid through grant funds.

The General Manager directs and manages the Management Team, including setting job duties and responsibilities and establishing performance goals and expectations. General office, staffing, and personnel policies and procedures for the Management Team staff are documented in the Management Team Policies and Procedures Manual.

The Bay Area UASI Management Team is responsible for the administration and management of the 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 facilitates Approval Authority, Advisory Group, and other Work Group and stakeholder meetings.

The Management Team is responsible for:

- ***Needs Identification*** – Working with Bay Area stakeholders to obtain input and make recommendations to the Approval Authority on grant funded projects.
- ***Coordination and Collaboration*** – Coordinating and managing working groups and stakeholders to ensure regional coordination and collaboration.
- ***Grants Administration*** – Overseeing and executing all administrative tasks associated with application for and distribution of grant funds and programs. Administering federal grant awards to ensure compliance with federal laws, regulations, executive orders, Office of Management and Budget (OMB) circulars, departmental policy, award terms and conditions, and state and local requirements.
- ***Project Management*** – Providing regional coordination, monitoring, management, and oversight of grant-funded projects and programs.
- ***Procurement*** – Developing, reviewing, and/or 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*** – Preparing and modifying agreements between the Bay Area UASI and sub-recipients as well as monitoring sub-recipients to ensure compliance with grant requirements.

D. Working Groups

Bay Area UASI Working Groups are comprised of regional stakeholders who are subject matter experts. The Bay Area UASI General Manager is empowered by the By-laws to create discipline-specific and/or functionally-determined work groups. Members of the Approval Authority are requested to provide personnel with subject matter expertise to participate in Working Groups. The General Manager may also solicit subject matter experts to include representatives from member counties and cities. In addition, members of the Approval Authority are encouraged to identify participants with relevant subject matter expertise from outside government, including non-governmental and community-based organizations, who can participate in Working Groups, consistent with FEMA’s “whole community” approach.

The primary objective of the Working Groups is to provide a venue for subject matter experts to assess regional needs and capabilities based on risk, as well as review and discuss regional grant projects. All Working Groups are project-focused and do not set policy. The role of the Working Groups also includes providing technical input and oversight during project implementation, applying lessons learned from project implementation, and providing input for portfolio evaluation and performance metrics.

Currently, there are four Working Groups in the following areas, which are consistent with the Bay Area Homeland Security Strategy goals:

- Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE)/Training and Exercises;
- Risk Management and Information Sharing;
- Interoperable Communications; and
- Health, Medical, Citizen Preparedness, and Recovery

Working Groups meet at least monthly and are chaired by a project manager from the Bay Area UASI Management Team. The Project Manager is a subject matter expert, participates in all meetings, ensures the Working Group has needed information on a timely basis to meet their responsibilities, maintains documents and records, and is responsible for contributing to regular reporting to the General Manager and Approval Authority.

E. Sub-recipient Jurisdictions

Sub-recipient jurisdictions receive grant funds from the City and County of San Francisco in its capacity as the fiscal agent and sub-grantee to the State of California for federal UASI awards. Sub-recipient jurisdictions are responsible for adhering to the project management, procurement, and financial management policies and procedures outlined in this manual. Among other things, responsibilities include:

- Active participation as a project lead;
- Drafting, approving, and following MOUs (Memoranda of Understanding);
- Ensuring financial management systems are in place;
- Requesting modifications when necessary through the use of the change request form;
- Requesting reimbursements in a timely manner;
- Conducting sub-recipient monitoring, if applicable;
- Complying with performance milestones and completing projects within the grant performance period;
- Submitting reports to the Management Team documenting project progress; and
- Participating in risk and capabilities assessments and Bay Area Homeland Security Strategy updates, as well as attending work group meetings.

F. Summary Matrix – Grant Roles and Responsibilities

<i>Steps in Project Cycle</i>	Approval Authority	Management Team	Stakeholders	Sub-recipient Project Lead
Risk and Capability Assessment	--	Coordinate	Inform	--
Homeland Security Strategy	Approve	Implement	Inform	--
Proposal Guidance	Approve	Implement	Inform – Advisory Group	--
Project Prioritizing	Approve	Coordinate	Implement – hubs and Advisory Group	--
Project Approval	Approve	Coordinate	--	--
Investment Justifications	--	Implement	--	--
Grant Application	Approve	Implement	--	--
MOUs	--	Implement	--	Inform
Reporting	Notified	Implement	Inform - workgroups	Inform
Timeline Change	Notified (over \$250K and six months)	Approve	--	Inform
Budget Change	Approve (over \$250K)/notified	Approve	--	Inform
Monitoring	--	Implement	--	Inform
Close Out	--	Approve	--	Implement
Evaluation	Notified	Implement	Inform	Inform

G. Ethical Standards

All members of the Bay Area UASI are required at all times to carry out their roles and responsibilities according to the highest ethical, professional, and quality standards. This includes conduct which is professional and competent, is cooperative with partners and stakeholders, and avoids bringing the Bay Area UASI into disrepute or negatively reflecting upon it. 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.

Hatch Act Compliance

All Bay Area UASI members and sub-recipients 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.

Conflicts of Interest

No member of the Bay Area UASI 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. Personnel and other officials connected with Bay Area UASI funded programs must adhere to the following federal standards for avoiding conflict 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 officials, employees, and sub-recipients 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. As detailed in Section III of this manual (see “Approval of Solicitations and Contracts” under “C. Planning”), participants in RFP screening and evaluation processes for Bay Area UASI projects will be required to sign and adhere to impartiality/confidentiality statements.

The Approval Authority’s conflict of interest procedure is detailed in the Memorandum of Understanding (August 2013 Section 19):

If and when a Party identifies an actual or potential conflict of interest among one or more of the Parties, that Party shall send written notification to all Parties. The Party with the actual or potential conflict shall respond to the notice within three business days. The response shall indicate whether the Party agrees or disagrees that a conflict exists. If the Party agrees, that Party may take appropriate action to cure the conflict, if possible, and shall describe its corrective actions in its response. If a Party disagrees, or cannot cure an actual conflict, the Approval Authority shall meet on the conflict within not less than 30 calendar days of the initial notice, in an effort to resolve the conflict. The Approval Authority shall schedule a special meeting if necessary to meet this timeline.

Fraud

The fight against fraud is strongly endorsed and supported by the Bay Area UASI Approval Authority. All employees of local jurisdictions comprising the Bay Area UASI 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

Members should immediately report any suspicion of fraud directly to the appropriate authorities within their home jurisdiction, the Bay Area UASI Management Team Chief Financial Officer, and/or the FEMA Office of the Inspector General hotline (see FEMA website).

The Bay Area UASI Chief Financial Officer shall be responsible for investigating fraud in conjunction with local jurisdictions, Cal OES, 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.

Given the City and County of San Francisco's role as the fiscal agent for the Bay Area UASI, the City and County of San Francisco Whistleblower Program is also a resource for reporting suspected fraud. This program is available to City and County of San Francisco employees, contractors or vendors, and City residents who want to come forward with information about acts of waste, fraud or abuse. It can be accessed via www.sfgov.org/whistleblower.

III. PROJECT CYCLE

The term “project cycle” includes the standard phases of the project management lifecycle which are: identification, planning, execution, and closure. The Bay Area UASI Management Team is responsible for providing regional coordination, monitoring, management, and oversight of grant-funded projects. Stakeholders identify projects through a risk assessment and prioritization process, facilitated by the Management Team. The Project Lead is responsible for all aspects of the project planning phase, with support from project team members and the Bay Area UASI Management Team Project Manager. In execution, the project team carries out the project as defined in documented plans and agreements. Finally, in close out, lessons learned are documented and evaluation data is gathered.

A. Definition of Terms

Project – A project is a temporary endeavor undertaken to create a unique product, service or result. It has a defined beginning and end and is usually constrained by time and funding. In the Bay Area UASI context, projects are funded by sub-grant awards approved by the Approval Authority and made to participating UASI jurisdictions. Projects vary considerably in size and complexity, ranging in amounts from tens of thousands to millions of dollars, and can include multiple sub-recipient jurisdictions. Each project has a high threat, high density urban area terrorism focus, is regional in nature, and is associated with an investment justification that is approved at the state and federal level.

Project Management – Project management is the discipline of planning, organizing, securing, and managing resources to achieve the specific goals of a project. In the Bay Area UASI context, the Bay Area UASI Management Team is responsible for project management under the direction of the Approval Authority. Sub-recipient project leads are responsible for specific project funds allocated to them and for coordinating all aspects of project management, working closely with technical experts and partner jurisdictions as appropriate.

Grants Management – Grants management is the management and administration of grants. In the Bay Area UASI context, this refers to grants from the federal government which are then awarded to sub-recipients. Because projects are funded by sub-grant awards, the terms “grants management” and “project management” can often be used interchangeably. Typically, however, the term grants management is used to refer to the compliance, procurement, and financial management elements of federal sub-award funding. The Grants Management Unit of the Management Team has responsibility for Bay Area UASI grants management.

Project Cycle – The term “project cycle” includes the standard phases of the project management lifecycle which are identification (sometimes called initiation), planning, execution (sometimes called implementation), and closure.

Project Identification – Project identification is the process by which project scope, goals, budget, timeline, and deliverables are defined at a high level and confirmed to go forward by the appropriate authorities. In the Bay Area UASI context, projects are identified through a risk assessment and vetting process executed by stakeholders with support from the Management Team. Projects are then reviewed by the Advisory Group and approved by the Approval Authority. The UASI project identification process culminates in the Homeland Security Grant Program application.

Risk and Capability Assessment – A risk and capability assessment process begins with an understanding of threats, consequences, and vulnerabilities, and assigning a value to them. This is then paired with an assessment of regional capabilities, such as readiness to accomplish a mission, function, or objective, under specified conditions, to target levels of performance. Once an understanding of risk is paired with that of capability, gaps can be identified, thus informing priorities, developing or comparing courses of action, and informing decision making. In the Bay Area UASI context, the risk and capability assessment is a critical step in the project identification phase and articulates the link between critical local needs and national priorities.

Project Planning – In the project planning phase, the sub-recipient Project Lead, working closely with a team of technical experts as appropriate, defines the work tasks that are required to accomplish project deliverables and goals, and executes/supports required procurement processes. Depending on the complexity of the project, project planning refines understanding and estimates of timeline, budget, schedule, roles and responsibilities for the project team and stakeholders, as well as project communication needs. Key documents of the planning stage in the Bay Area UASI context are the MOU Appendix A, RFP/Q solicitations, and vendor contracts. A project plan is a recommended document for complex project with multiple stakeholders.

Project Execution – In the project execution phase, the Project Lead carries out the project as defined in the project documentation, supported by team members as applicable. The Lead also reports on the current status of the project, identifying and analyzing any variances between plan and actual. As necessary, the Project Lead takes corrective action to update time, scope, and budget. In the Bay Area UASI context, the oversight of project execution is carried out by the Management Team and through the associated Working Group.

Project Change Management – Project change management is the practice of controlling and documenting changes to the baseline project documentation. Managing the project during the execution phase means monitoring actual against planned (baseline) progress and making the necessary course changes in schedule, scope, and/or budget to meet user and stakeholder expectations. In the Bay Area UASI context, the sub-recipient project lead makes change requests to the Bay Area UASI Project Manager using the Project Change Request Form. Change requests are granted based on consistent criteria and processes documented in this Manual.

Project Close Out – In the project closure phase, the Project Lead carries out administrative and contractual procedures to end the project, working with the Management Team as necessary. This also includes defining lessons learned, which are key to improving similar projects in the future, as well as project and portfolio evaluation.

B. Identification

The Bay Area UASI Management Team guides the project identification process with input from subject matter experts. The process starts with asset updates to refine our regional understanding of risk, which is combined with capabilities assessments that result in a gap analysis. This analysis feeds into the update of the Bay Area Homeland Security Strategy. Regional stakeholders then identify projects to meet gaps and priorities and vet proposals, which are reviewed by the Advisory Group and ultimately approved by the Approval Authority. The process culminates in the Management Team completing the Homeland Security Grant Program application for approval by the Approval Authority.

In the process detailed below, approximate dates are provided for each step. However, note that these dates are highly variable based on changes in federal/state grant allocations and program schedules. The dates below reflect the FY14 grant cycle timeline. Note that for the FY15 grant cycle and subsequent years, we anticipate that the process will kick off in March rather than June as specified below. Working with relevant regional stakeholders, each year the Bay Area UASI Management Team will develop a project identification and risk management cycle timeline.

Risk and Capability Assessment

WHAT?	Assessment of assets and capability in order to produce a risk-based gap analysis
WHEN?	Annually- Kicks off in June and extends through August
WHO?	Risk Management and Information Sharing Working Group, Operational Areas, Management Team, NCRIC
DOCUMENTS:	Asset and capability updates in Digital Sandbox

The Approval Authority By-laws (August 2013 Section 8.1) specify that the Approval Authority must use a risk and capability-based methodology to apply for and allocate grant funds. This is consistent with guidance from the Department of Homeland Security, that all levels of government establish a foundation to justify and guide preparedness activities and investments. In addition, as of 2011, the Department of Homeland Security requires all grantees to develop and maintain a Threat Hazard Identification and Risk Assessment (THIRA). The Bay Area UASI Management Team initiated such a regional collaborative planning, risk validation analysis, and capabilities assessment in 2010.

Using the Digital Sandbox software system, the risk and capability assessment process collects information and assigns a value to risks for the purpose of setting priorities, developing or comparing courses of action, and informing decision making. The determination of risk includes identification and characterization of threats, their consequences, and our vulnerabilities. Such an understanding of risk is paired with an assessment of regional capabilities. This includes assessing preparedness and levels of readiness to perform critical tasks to accomplish a mission,

function, or objective, under specified conditions, to target levels of performance. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the desired outcome. Once an understanding of risk is paired with that of capability, gaps can be identified, and thus we can best understand how to establish priorities and make resources decisions to address the region's most critical needs.

To be eligible for funding, jurisdictions within the Bay Area UASI must participate in the risk and capability assessment process on an annual basis. Starting in June, the risk assessment process lasts about three months and includes the following steps guided by the Bay Area UASI Management Team:

1. ***Kick Off*** – The Management Team, in conjunction with Digital Sandbox and the Northern California Regional Intelligence Center (NCRIC), develops data collection timelines, requirements, and avenues for receiving information on threats, vulnerabilities, and consequences of loss. The Management Team organizes a kick off meeting to provide an overview of the process, risk analysis tool (Digital Sandbox Risk Analysis Center (RAC) tool box), and Protected Critical Infrastructure Information (PCII) requirements to stakeholders. The Management Team provides follow up training as needed.
2. ***Risk Data Collection and Validation*** – Stakeholders gather, validate, and verify asset data in Digital Sandbox. The Northern California Regional Intelligence Center (NCRIC) conducts final review and validation, as well as provides information on threat, vulnerabilities, and consequences for the region.
3. ***Capability Assessment and Gap Analysis*** – The Management Team leads a process whereby stakeholders assess local and regional capabilities using the Department of Homeland Security's core capability list. This process typically cumulates in a one day regional workshop of subject matter experts. This information is added to the risk information in Digital Sandbox and mapped to produce a risk-based gap analysis.

The risk and capability assessment ensures that the Bay Area UASI directs its investments to the areas where the risks are greatest and the capabilities the weakest, and ensures that critical capabilities are sustained. The assessment is fundamental to the subsequent completion of the Bay Area Homeland Security Strategy and THIRA, and serves to inform the annual allocation and policy priorities approved by the Approval Authority.

Bay Area Homeland Security Strategy

WHAT?	Comprehensive data driven document that outlines the Bay Area UASI's risks, capabilities, vision, structure, goals and objectives for homeland security
WHEN?	Required at least every two years, to be completed as soon as possible after the risk and capability assessment and before project proposals are developed
WHO?	Management Team
DOCUMENTS:	Bay Area Homeland Security Strategy

Informed by the risk and capability assessment, the Bay Area Homeland Security Strategy is a comprehensive data driven document that outlines the Bay Area UASI's risks, capabilities, vision, structure, goals and objectives for homeland security. The goals and objectives are structured around closing identified risk and capability gaps. The associated implementation plan serves as a strategic guide for the region and jurisdictions to develop regional projects that will result in achievement of a particular objective. The Strategy outlines a comprehensive system for enhancing regional capability that guides the Bay Area UASI's efforts to:

- Prevent and disrupt terrorist attacks;
- Protect the people of the Bay Area, its critical infrastructure, and key resources;
- Respond to, and recover from, major incidents and all hazards that do occur;
- Continue to strengthen our preparedness foundation to ensure our long-term success; and
- Guide future investments, increase capabilities, and reduce risk.

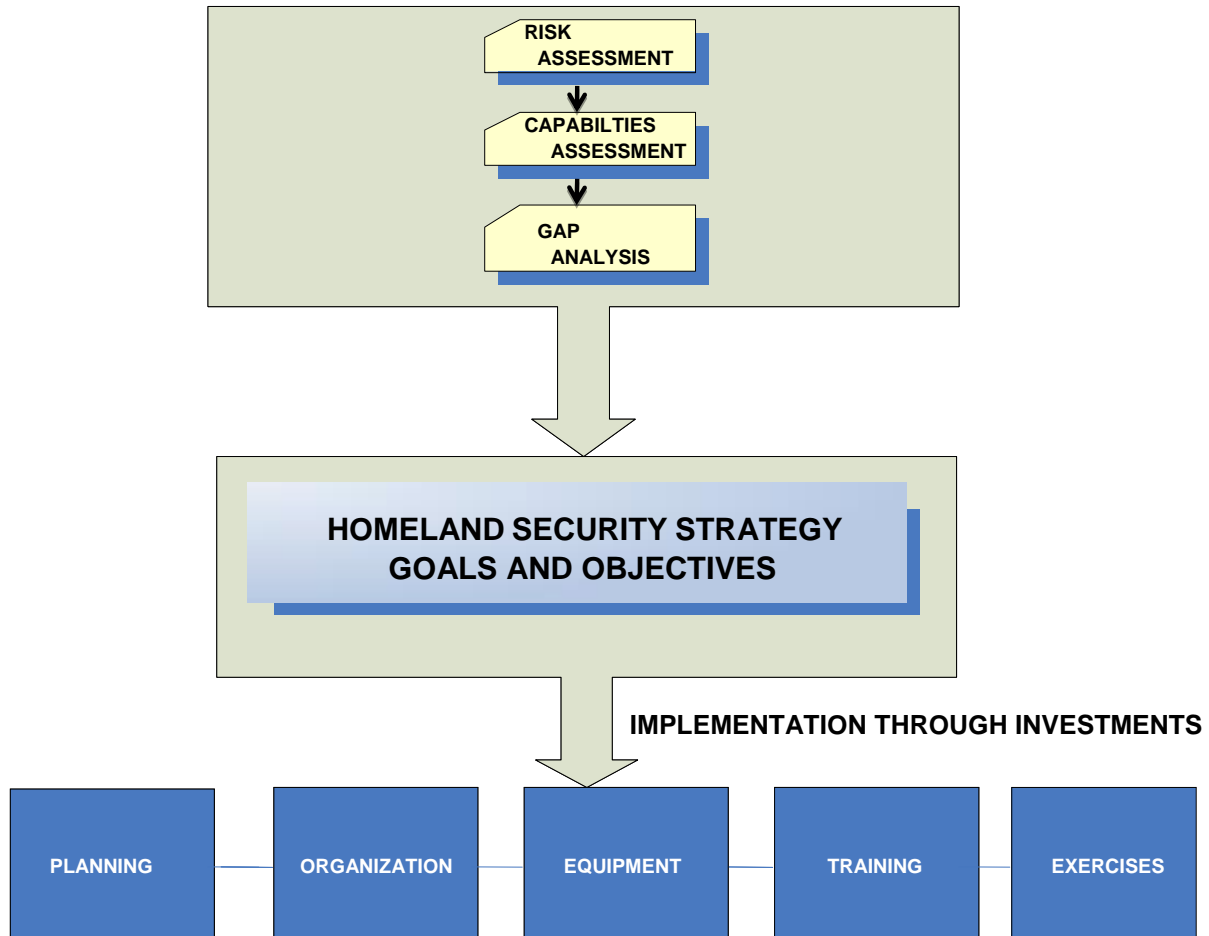
Having such a strategy allows the Bay Area to clearly track and articulate its risks and capability needs to local leaders, the State of California, and Department of Homeland Security. Homeland security strategies are the basis for requesting funds from the Homeland Security Grant Program, of which UASI funding is a part. As required, the Strategy addresses all FEMA mission areas—prepare for, protect against, respond to, recover from, and mitigate all hazards.

The Bay Area's homeland security goals are directly aligned with National Homeland Security Priorities (and/or the State of California Homeland Security Strategy Priorities) and are as follows:

- Develop a Regional Risk Management and Planning Program;
- Enhance Information Analysis and Infrastructure Protection Capabilities;
- Strengthen Communications and Interoperable Communications;
- Strengthen CBRNE Detection, Response, and Decontamination Capabilities;
- Enhance Medical, Public Health and Mass Care Preparedness;
- Strengthen Planning and Citizen Preparedness Capabilities;

- Enhance Recovery Capabilities; and
- Enhance Homeland Security Exercise, Evaluation and Training Programs.

The planning process used to develop the Strategy is shown below. From the risk and capability assessment process that culminates in a gap analysis, strategic goals and objectives are developed along with implementation steps to track objectives through a series of resource elements divided among the elements of capability: Planning, Organization, Equipment purchase, Training, and Exercises (POETE). The Bay Area UASI Management Team guides this process with technical input from subject matter experts in the region.



The Bay Area Homeland Security Strategy was last updated in November 2012. An update for 2013 is planned to incorporate new cyber security objectives.

Proposal Guidance

WHAT?	Application, criteria, and steps for applying for Bay Area UASI funding
WHEN?	Annually in September
WHO?	Management Team
DOCUMENTS:	Project Proposal Guidance

The Management Team develops a guidance document that includes the proposal template, criteria for funding (including priority capability objectives), the process for the funding of proposals, timeline, and allowable spending areas. The Management Team vets this document with regional stakeholders and presents it to the Approval Authority for approval. The FY14 Project Proposal Guidance, including the proposal template, is included in this document in Appendix A.

Proposals

WHAT?	Project proposals
WHEN?	Annually in November
WHO?	All UASI stakeholders
DOCUMENTS:	Proposal template

Regional projects may be developed from and/or solicited by operational areas, special districts, or sub-regions within the 12 county Bay Area UASI. Hub Planners, Bay Area UASI workgroups, and Management Team project managers will work with the UASI counties/major cities to engage in outreach to solicit proposals. Proposals are invited from government organizations within the UASI footprint, including all work group and hub participants. All proposals should be submitted by the person who will be primarily responsible for project implementation and should have the approval of the relevant department head. Community-based and nonprofit groups are welcome to submit a proposal, but must do so through a government sponsor/partner. Proposals must adhere to the criteria laid out in the Project Proposal Guidance. For the FY14 grant cycle, these criteria included:

- (1) The proposed project must enhance the region's priority capabilities – which are those capabilities most relevant and important based on the region's risk profile, and/or that have a low level of ability based upon the results of the 2013 Bay Area regional risk and capability assessment; and

- (2) The proposed project has a direct nexus to enhancing terrorism preparedness – either preventing, protecting against, mitigating the damage from, responding to or recovering from threats or acts of terrorism; and
- (3) Each project is regional insofar as it directly benefits two or more operational areas in the Bay Area region; and
- (4) The project budget is of a reasonable amount with each element of the project tied directly to a funding amount specified in the project budget section of the template.

See Section VII (Templates) of this manual for the proposal template and Appendix A for a copy of the Management Team’s project proposal guidance from September 2013.

Prioritizing

WHAT?	Hubs prioritize proposals
WHEN?	Annually in January
WHO?	Voting hub members, as selected by the Approval Authority
DOCUMENTS:	Project prioritization lists (“above” and “below” the line)

Hubs are based on the geographical location of jurisdictions in the North, East, South and West Bay. These hubs meet to decide on the list of projects for recommendation to the Advisory Group for funding. Each hub develops a list of prioritized projects based on regional need and local capabilities based on the set of goals from the *Bay Area Homeland Security Strategy*. Hubs may also designate other criteria as mutually agreed (e.g., provide scalable solutions, leverage other funding sources, and benefit the most operational areas.)

Project Approval

WHAT?	Advisory Group reviews project proposals and makes recommendations to Approval Authority for final project approval
WHEN?	Annually in March
WHO?	Advisory Group and Approval Authority
DOCUMENTS:	List of projects by hub in order of priority, to be funded as funds become available, as well as regional “off the top” allocations

The Management Team forwards project proposals in priority order from each hub to the Advisory Group for review. The Advisory Group also reviews sustainment projects/ regional projects. Upon review and additional analysis as needed, the Advisory Group forwards selected projects to the Approval Authority for final approval, which should take place by March.

Investment Justifications

WHAT?	Investment justifications are required by Department of Homeland Security and demonstrate how projects link to federal priorities
WHEN?	Annually in May
WHO?	Management Team prepares and submits to Cal OES
DOCUMENTS:	Investment Justification template/ user reference guide from Department of Homeland Security

The Department of Homeland Security requires detailed investment justifications as part of the Homeland Security Grant application process. The investment justification must demonstrate how proposed projects address gaps and deficiencies in current capabilities. Once the grant award is announced, and after projects are approved by the Approval Authority, the Bay Area UASI Management Team groups like projects together into investment categories. Typically, there are approximately ten investment categories that mirror the Bay Area Homeland Security Strategy (e.g., CBRNE, Information Analysis, Interoperability, etc.), and each investment category includes a range of associated projects.

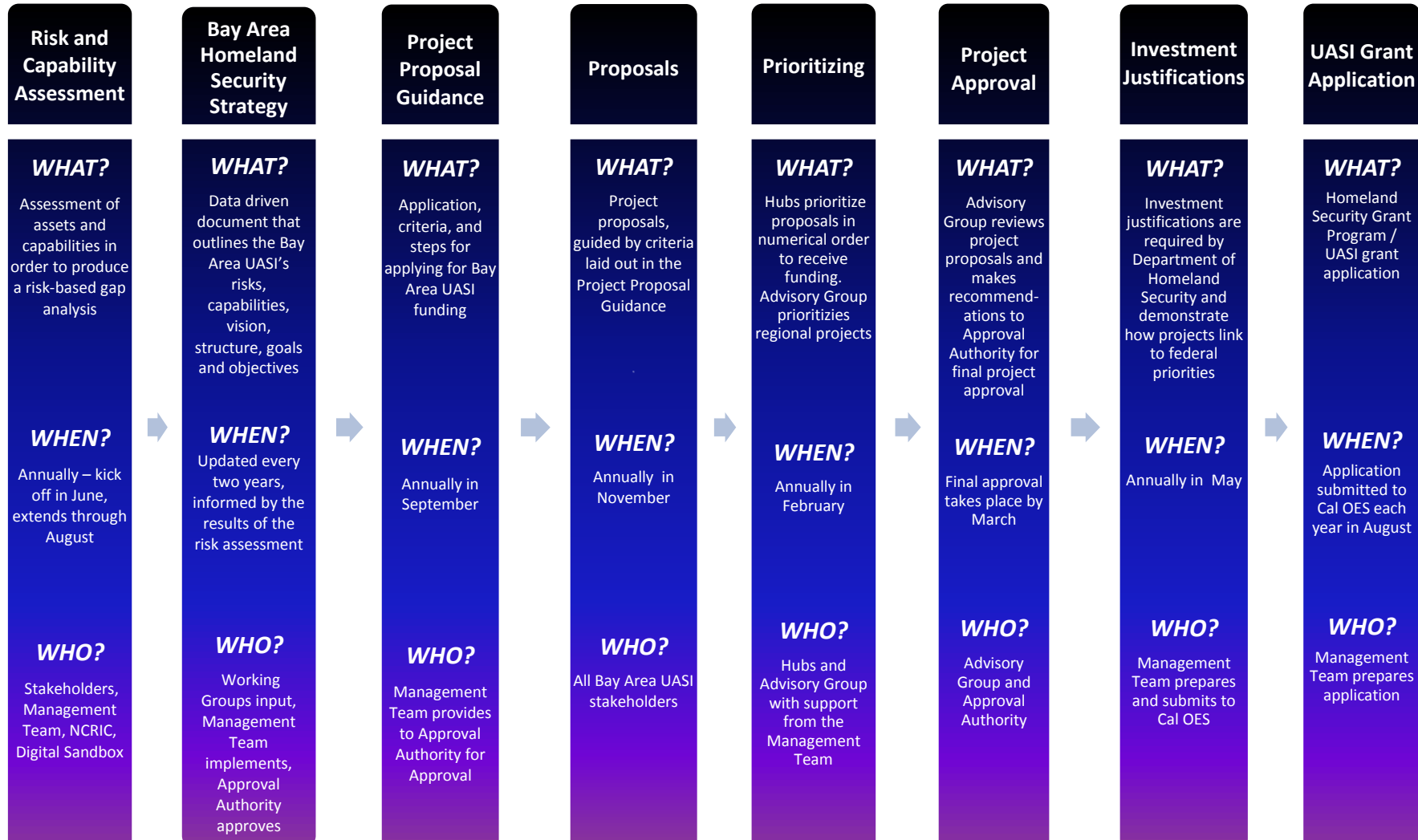
The Management Team prepares the Investment Justification document with guidance/templates from the Department of Homeland Security. These documents are prepared starting in May and submitted to the California Office of Emergency Services (Cal OES).

UASI Grant Application

WHAT?	Homeland Security Grant Program/UASI grant application
WHEN?	Submitted to Cal OES in August
WHO?	Management Team submits to Cal OES
DOCUMENTS:	Guidance and Application Kit

The Bay Area UASI Management Team completes the UASI grant application and sends it to the California Office of Emergency Services (Cal OES), which ultimately forwards it to the Department of Homeland Security. Per the Approval Authority By-laws (August 2013 Section 8.4), the General Manager reports to the Approval Authority on grant awards received from Cal OES at the next regular meeting following the award.

Project Identification Summary



Timelines may vary due to changes in federal/state grant allocation and program schedules

C. Planning

The sub-recipient Project Lead is responsible for all aspects of the project planning phase, with support from the Bay Area UASI Management Team Project Manager as well as partner jurisdictions and technical experts, as appropriate. Working with his or her team, the Project Lead defines the work tasks that are required to accomplish project deliverables and goals, and ensures required procurement processes are carried out.

A Bay Area UASI project is documented in detail in the original project proposal that is selected by the hub and approved by the Approval Authority – see “Identification” above. The planning phase starts once the proposal is approved for funding. Planning produces a refined understanding and estimates of timeline, budget, schedule, and roles and responsibilities for the Project Team and stakeholders. Key documents of the planning stage are Memoranda of Understanding (MOU), Request for Proposals (RFP)/Request for Qualifications (RFQ) solicitations, and vendor contracts. In addition, in cases of complex projects involving multiple stakeholders and significant investments, the Bay Area UASI Project Manager may request sub-recipient jurisdictions to participate in the development of a project plan document.

MOU Appendix A

The Memorandum of Understanding (MOU) document outlines an agreement between the sub-recipient and the City and County of San Francisco, which serves as the fiscal agent for the Bay Area UASI, to procure goods and services needed in project implementation.

The MOU contains an Appendix A entitled “Authorized Expenditures and Timelines” in which project information is detailed by solution area (Planning, Organization, Equipment purchase, Training, and Exercises–POETE), program description, deliverable due date, and amount. In order to provide accurate information in the Appendix A, the Project Lead must work from the originally approved project proposal. The Project Lead works with the Bay Area UASI Project Manager and appropriate sub-recipient jurisdiction representatives, team members, and/or technical experts as needed to define and describe work tasks. MOUs must be completed, signed, and approved as part of the project planning phase.

See Section V (Procurement) for more information on executing and modifying MOU agreements. In particular, see “Appendix A – Authorized Expenditures and Timelines” for more information on allowable costs and requirements. In addition, the MOU Appendix A template can be found in Section VII (Templates).

Vendor Procurement

Most Bay Area UASI projects require contracts with outside vendors, and usually the contracting entity is a sub-recipient jurisdiction. Sub-recipients should use their own procurement procedures, regulations, and best practices, provided these conform to applicable federal law and standards. Sub-recipients are required to provide the Management Team’s Grants Management

Unit a copy of their procurement policies for review. The sub-recipient jurisdiction must also comply with all relevant guidelines laid out in this manual, including those in Section V (Procurement), as well as meet the approval requirements listed in the next section. The sub-recipient project lead is responsible for procurement processes. The Management Team is available to support jurisdictions with best practices concerning vendor solicitation, selection, negotiation, and management.

In many cases sub-recipient jurisdictions may begin the vendor procurement process in advance of the finalization of the MOU. Such work can include doing market research and drafting the solicitation. In addition, some jurisdictions are able to post the solicitation as well as select a vendor and negotiate a contract. However, in no instances may a sub-recipient jurisdiction obligate the funds, incur costs, and submit a reimbursement request for work on a contract that is not consistent with the time period stated on an approved MOU document.

In cases when a project does not include sub-recipient jurisdiction funding, all procurement processes are the responsibility of the Bay Area UASI Management Team Project Manager, working in partnership with the Grants Management Unit and under the guidance of the Regional Program Manager. Such procurement should be conducted per the policies and procedures of the City and Country of San Francisco as the Bay Area UASI fiscal agent. Detail on this process is included in Section V on procurement below (see “San Francisco Procurement Process for Professional Services Contracts”).

In all vendor contracting processes, the Project Lead should work closely with their team/subject matter experts to develop solicitations and contracts that are technically accurate and consistent with details in the project proposal and MOU agreements.

Approval of Vendor Solicitations and Contracts

Jurisdictions issue a contract solicitation following a sub-grant award that has been reviewed by the Advisory Group and approved by the Approval Authority. (However, should there be any instance in which the Approval Authority has not already approved the allocation; the General Manager is responsible for informing the Approval Authority about any contract solicitation in an amount above \$500,000).

All solicitation processes/contracts must, at a minimum include the following elements:

Solicitation phase:

- ***Engage in a full and open competitive bidding process*** or a sole source process as determined by local policy, provided that such a process is not in conflict with federal regulations which supersede it.
- ***Obtain a state sole source approval*** if there is only one bid or only one vendor that can perform the services required and the contract is \$100,000 or more. In such cases the contracting entity must transmit a sole source request to the Bay Area UASI Grants Management Unit for submission to the State.

Selection phase:

- ***Include a selection panel that is comprised of subject matter experts*** from among regional stakeholders. The Project Lead and any team members who worked on the Request for Proposals (RFP)/Request for Qualifications (RFQ) may not serve on the selection panel, but may coordinate selection panel logistics, provide technical input, and/or observe the process. The selection panel should consist of an odd number of people ranging from three to seven members.
- ***Make a selection based on criteria that is published in the RFP/Q.*** Evaluating proposals or making comments based on previous experiences or hearsay should be discouraged. Panelists should be directed to focus on the information in the proposals and base their evaluation and selection on those materials.
- ***Observe confidentiality.*** Panelists should not, under any circumstances, contact or communicate with any of the proposers or anyone outside of the selection panel process, including members of the Approval Authority and the Management Team. Names of the proposed bidders should also be held in confidence. This lock-down of information is intended to preserve integrity and fairness.
- ***Include signed impartiality/conflict of interest statements for selection panel members.*** See template in Section VII. A panelist is prohibited from participating in an RFP/Q screening or evaluation process if he or she, or any member of his or her immediate family (including spouse/domestic partner and dependent children):
 - Has received income or gifts within the past year from any of the proposers;
 - Has any ownership interest or other direct or indirect investments, other than mutual funds, in any of the proposers;
 - Expects or intends to seek employment or any other relationship with any of the proposers; and/or
 - Has any other direct or indirect interest in any of the proposers that would prevent him or her from exercising fair and impartial judgment when participating in the RFP screening or evaluation process.

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. See also Section II of this manual for more information on ethical and conflict of interest standards.

Negotiation/ contract stage:

- ***Ensure costs are reasonable and consistent*** with the amount paid for similar services in the market place—a reasonable cost/price analysis must be conducted by the Project Team.
- ***Include a clearly written scope of services***, tangible deliverables, clear performance periods, and a schedule of payments by deliverable.
- ***Be performed and paid in entirety within the grant performance period.***

Project Plan

A project plan develops the details of a project that are further fleshed out and updated from the proposal stage. In special cases when projects are particularly complex and involve multiple stakeholders and significant investments, the Bay Area UASI Project Manager may request sub-recipient jurisdictions to participate in the development of a project plan document. A project plan may also be required by the General Manager for special initiatives that are managed by the Management Team.

Project Leads should work with the Bay Area UASI Project Manager, their team members, and other subject matter experts to develop the project plan, working from the required template (See Section VII). In working collaboratively with team members, the Project Lead not only ensures that all technical bases are covered, but is also more likely to obtain the team's buy-in. The following elements are included in the project plan template. Note that the template also includes guidance which Project Leads should follow when completing the plan.

- Project goals and rationale;
- Project outcomes and requirements;
- Deliverables and requirements;
- Budget and timeline;
- Roles, responsibilities, and stakeholders;
- Communication;
- Risks and mitigation; and
- Approvals

The project plan is the core governing document for the project to which the Project Lead and team members are held accountable. Information in the project plan must be consistent with that in the MOU agreements and vendor solicitations and contracts, if applicable. The length of time to prepare a project plan will vary due to the complexity, size, and number of stakeholders involved in the project, but this should usually range from a couple of days to a few weeks. Project plans must be approved by the Bay Area UASI General Manager or designee and sub-recipient representatives, as appropriate.

D. Execution

The Project execution phase begins once vendor contracts and the MOU document are finalized. In execution, the sub-recipient project lead carries out the project as defined in the project proposal document and refined in any vendor contract and Memoranda of Understanding (MOU).

The Bay Area UASI Management Team Project Manager works closely with the sub-recipient project lead during execution. The Project Manager is tasked with ensuring the project is on time and on budget and to help follow up on deliverables and compliance as specified in the MOU, such as Environmental and Historic Preservation (EHP) approval, sole source approval, and performance bond acquisition. The Project Lead reports to the Project Manager on the current status of the project, identifying and analyzing any variances between plan and actual. As necessary, the Project Lead and Project Manager will seek corrective actions to update project timeline, scope, and budget. Oversight of project execution is carried out by the Bay Area UASI Management Team and, at a technical level, through the associated Working Group. The Bay Area UASI General Manager or designee is responsible for reporting on project progress and change management to the Approval Authority.

Kick Off

A project kick off meeting organized by the Project Lead is often an appropriate way to begin work on a new project and is an identified best practice in project management. This meeting involves relevant team members and stakeholders, and could include the following activities:

- Senior managers demonstrating to the project participants their support for the effort;
- Review of the project plan;
- Relationship building among team members;
- Explanations of operating procedures; and
- Work on immediate first steps as laid out in the project plan.

Document and Records Management

Sub-recipient jurisdictions are required to adhere to their home office policies and procedures regarding document and records management, the terms and conditions of their MOU agreements, as well as the provisions in the procurement and financial management sections of this manual. All sub-recipients are required to retain all documentation related to project implementation and expenses reimbursed under the Bay Area UASI for a period of three years after the close of the grant. All records associated with Bay Area UASI projects must be made available to the Bay Area UASI Management Team, and financial records are also subject to review by the California Office of Emergency Services (Cal OES) and the Department of Homeland Security staff.

Reporting

Successful project execution requires a variety of reporting at all levels of the Bay Area UASI. Reporting requirements include the following:

- ***Project Team*** – The sub-recipient Project Lead is responsible for checking in with his or her team, vendors, and/or partner jurisdictions to make progress on deliverables as stated in the project proposal/plan/vendor contract. For more complex projects, regular project team meetings may need to occur by phone, email, or in person. The Project Lead should work with team members on an ongoing basis to ensure that expectations are synchronized with what has been accomplished, what needs to be accomplished, and the challenges being encountered. The Project Lead should 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.
- ***Working Group*** – The sub-recipient Project Lead is strongly urged to participate in the technical Working Group associated with the project. The subject matter experts in the Working Group play an important role in sharing lessons learned, developing regional cooperation, and providing technical oversight during project execution.
- ***Bay Area UASI Project Manager*** – The Project Lead is responsible for project reporting to the Bay Area UASI Project Manager. The Project Lead should discuss progress on scope, schedule, and budget, and deviations from that agreed to in project documentation.
- ***Grants Compliance*** – So that the Bay Area UASI may remain in compliance with federal and state policies and procedures, sub-recipient project leads are responsible for program and financial reporting as directed by the Grants Management Unit. For more information on sub-recipient monitoring and reporting see Section VI (Financial Management).
- ***Approval Authority*** – The Bay Area UASI General Manager or designee is responsible for reporting on project progress to the Approval Authority. The General Manager may single out high risk/cost/ impact projects for regular progress reporting, as directed by the Approval Authority. On a regular basis, the General Manager or designee will provide portfolio status and financial reports detailing progress by sub-recipient jurisdiction and grant source.

Change Management

Project change management is the practice of controlling and documenting changes to the baseline project documentation. Managing the project during the implementation stage means monitoring actual activity against planned (baseline) progress and making the necessary course changes in schedule, scope, and/or budget to meet user and stakeholder expectations. Section 8.6 of the August 2013 Approval Authority By-laws governs grant budget modifications for the Bay Area UASI.

Change Request Form: The Project Lead is responsible for project change management and must make requests for timeline, budget, and scope changes to the Bay Area UASI Project Manager in a timely manner using the Project Change Request Form (see template in Section VII). This form is necessary to collect all of the required information at one time to evaluate the request, share the information appropriately, as well as to maintain needed documentation. The form is intended for requested changes to timeline, scope, and/or budget, and it collects information on the nature of the request and why it is needed.

Project Timeline Change Requests: The sub-recipient Project Lead should immediately notify the Bay Area UASI Project Manager in the event they are unable to meet their deliverable due dates and specifications as approved in their MOU document. See “E. Modifications to MOU/LOAs” in Section V on procurement below.

The General Manager must report to the Approval Authority any timeline changes for projects with budgets over \$250,000 in which the final project completion date is delayed by more than six months. When a jurisdiction needs to extend the timeline of an approved project beyond the grant effectiveness date, that jurisdiction may request to “swap” funds with another approved project that can be completed by the jurisdiction within the grant effectiveness period. Such requests will be approved by the General Manager as long as there is a reasonable expectation that the funds can be spent as stated within the designated timelines. The Management Team will closely monitor projects per identified milestones. The General Manager will ask jurisdictions that are not on track towards timely completion to identify such “swapping” opportunities or return funds to the associated hub to fund the next-in-line project.

Project Budget Change Requests: The General Manager must bring any budget change for a project that exceeds \$250,000 to the Approval Authority for approval prior to the change. Within a grant project, the Bay Area UASI General Manager may reallocate funds up to a cumulative total of \$250,000. This authority allows the General Manager to add or subtract from the original allocation up to the total amount of \$250,000. Any changes must be consistent with the original project goals and objectives as stated in the project proposal, the Bay Area Homeland Security Strategy, and/or FEMA requirements. The General Manager will report such reallocations to the Approval Authority on a biannual basis.

Project Scope Changes: The General Manager will review project scope change requests for consistency with the original project goals and objectives as stated in the project proposal, the Bay Area Homeland Security Strategy, and FEMA grant requirements. Requested changes that are not consistent with the above criteria will be denied in order to maintain compliance and fidelity to previously vetted and approved spending. The General Manager must report to the Approval Authority any project scope change for projects with budgets over \$250,000 that results in significant changes in key deliverables or stakeholders.

Funding of “Next-in-Line” Projects: During the project “Identification” phase, hubs are asked to identify projects to be funded if and when additional funding becomes available in the course of the grant period. Funding may become available if a jurisdiction is unable/no longer interested in implementing project goals and objectives as originally stated and approved by the Approval Authority; or expenditures for a project are lower than originally budgeted. In both of these instances, jurisdictions are required to return the funds to the hub to fund project/s “next-in-

line” for funding. Projects should be funded in order of priority as funds become available. However, a hub may decide by mutual agreement to adjust the order or adjust the cost allocated to projects.

In special cases, unused funds may be allocated towards new purposes within that same project when all of the following conditions are met as determined by the General Manager: the original allocation was made to fund a part of a project and funding subsequently became available due to the fact that costs of the project were less than originally anticipated; and the new purposes are clearly defined in the original project proposal that had been vetted and approved by the Approval Authority; and at the time of the original project allocation approval, the Approval Authority clearly states that it would be permissible to allocate any project savings towards new purposes in the project.

Appeal Process: The General Manager is granted discretion in approving project change requests as specified above. If a sub-recipient jurisdiction believes such discretion has been applied in a way that is not consistent with these guidelines, or is not in the spirit of fairness or effectiveness, he or she may seek to appeal the decision. Such an appeal should first be made directly to the General Manager and then, if still not resolved to the parties’ satisfaction, directly to the Approval Authority.

Monitoring

The Bay Area UASI Management Team Project Managers are responsible for monitoring sub-recipients to determine effectiveness and efficiency of operations, reliability of reporting and recordkeeping, and compliance level. Key concerns of the Project Managers are:

- The status of execution of the project (Is the project on time and on budget? Have the items been ordered? Are there any issues in the procurement process?)
- The status of reimbursement requests (Have they been submitted?)
- Have grant requirements been met? (EHPs, performance bonds, job descriptions, etc.)

The Grants Management Unit accomplishes monitoring through a combination of desk-based reviews and on-site monitoring visits. Monitoring involves review and analysis of financial, programmatic, performance and administrative issues, and identifies areas where technical assistance and other support may be needed. The sub-recipient is responsible for resolving any monitoring findings (i.e., findings of non-performance or non-compliance) in a timely manner by a corrective action plan and technical assistance in association with the Management Team. See “C. Sub-recipient Monitoring” in Section VI for more information.

Deliverable Quality Standards

The sub-recipient Project Lead is ultimately responsible for project quality and outcomes. He or she must ensure that project deliverables are of high quality and meet specifications in the project documentation. He or she is responsible for providing oversight and management of professional services consultants and ensuring deliverable quality and timeliness. Payments to

vendors should be structured by deliverable and should not be authorized by the contract holder until quality standards have been met by the vendor.

E. Close Out

Administrative Close Out

At project end, the Bay Area UASI Project Manager is responsible for ensuring that electronic and hard copy project files are archived in an orderly and easily accessible fashion. To preserve storage space, unnecessary documentation should be deleted. Hard copies of final products should be retained.

The Management Team's Grants Management Unit will work with sub-recipient jurisdictions as needed to make sure all sub-grant allocations are properly closed out. Please see Section VI (Grant Close out) for information about the process.

Sub-recipient jurisdictions are required to retain all documentation related to project implementation and expenses reimbursed under the Bay Area UASI for a period of three years after the close of the grant. This retention period will commence upon receipt of the final close-out letter by Cal OES.

Lessons Learned

Once a project is complete, the Bay Area UASI Project Manager is encouraged to prepare a "lessons learned" document or have a lessons learned discussion in the technical Working Group associated with the project. This would be useful for projects involving multiple stakeholders and jurisdictions and is key to improving similar work in the future. Some questions to consider include:

- Did the project achieve its outcomes/requirements as stated in the project documentation?
- What went well and why?
- What went wrong and why?
- What did we do about it?
- What else might we have done?
- What are lessons learned for future projects and teams?

Portfolio Evaluation and Performance Metrics

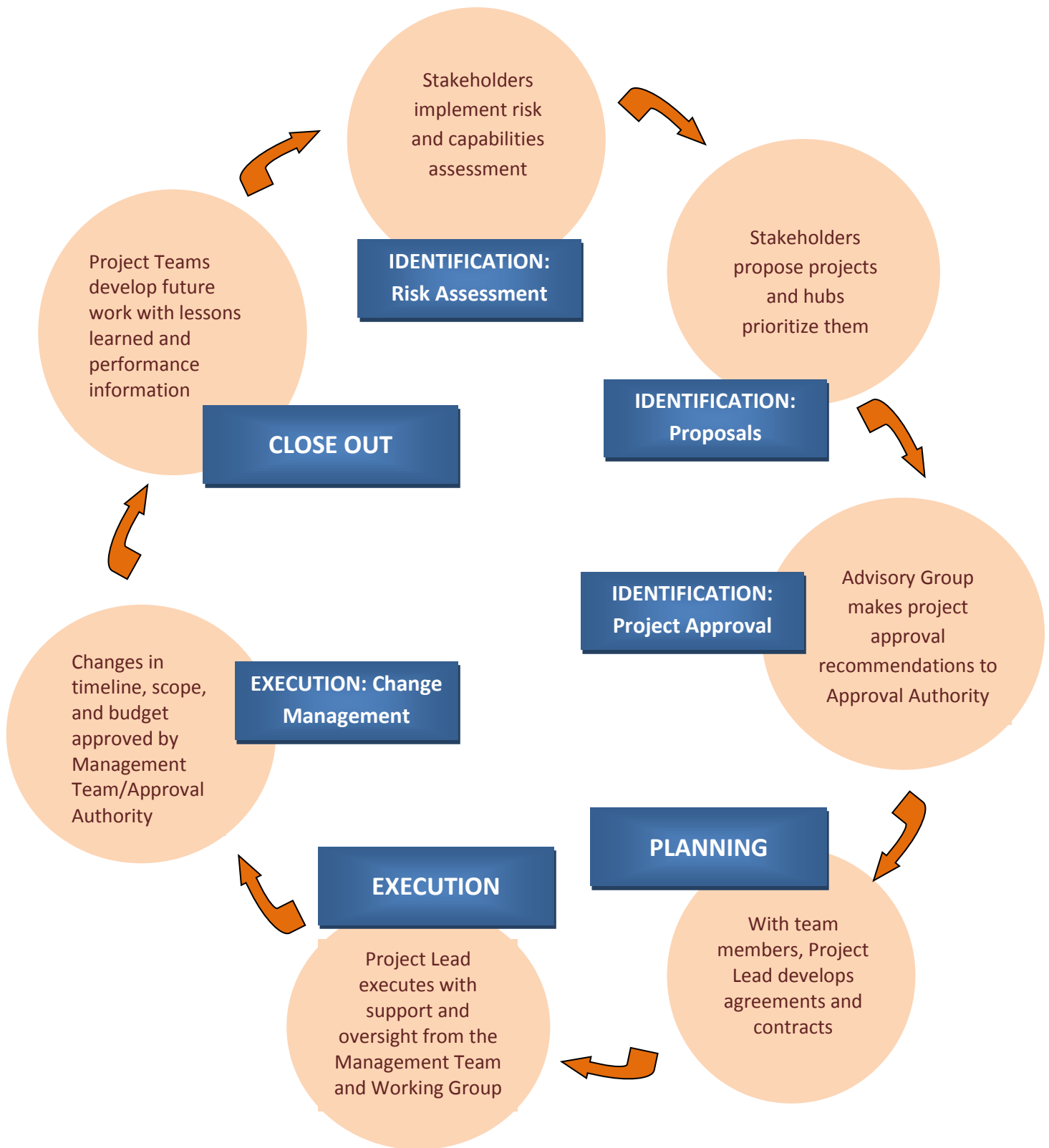
The Bay Area UASI analyzes the outcomes and effectiveness of its work through the Effectiveness Report, which was last issued in January 2013. This report evaluates how investments better position the Bay Area region to prevent, protect against, mitigate, respond to and recover from acts of terrorism and other hazards.

In addition, the Bay Area UASI introduced specific performance measures (“measures and metrics” project) within the Digital Sandbox software system that are tied to FEMA’s core capabilities in June 2013. This allows the region to locally define the core capabilities and thus more concretely track progress at the regional as well as each Operational Area level.

Other efforts to evaluate the portfolio of Bay Area UASI projects include reviewing and analyzing After Action Reports (AAR) and improvement plans to determine whether we are enhancing capabilities and overall preparedness, as well as identifying multi-year training and exercise plans to assess and test capabilities. Exercises should be designed around testing and evaluating the region’s ability to prevent, protect against, mitigate, respond to and recover from the highest risk terrorism scenarios.

The Bay Area UASI uses information on portfolio performance and metrics, as well as updates to the Bay Area Homeland Security Strategy, to inform the next cycle of project identification.

F. Summary of the Project Cycle



G. Summary of the Project Team

	Project Lead	Management Team Project Manager	Working Group
	<i>The Project Lead is the person in charge of the project from the sub-recipient jurisdiction</i>	<i>The Bay Area UASI Project Manager has relevant subject matter expertise as well as grants management expertise</i>	<i>Each project is associated with a technical Working Group, which is comprised of regional subject matter experts</i>
Planning	<i>With team members, responsible for project planning, including inputting into the MOU agreement and vendor solicitations and contracts.</i>	<i>Helps complete the project information in the MOU agreement and provides support on procurement if needed.</i>	<i>The Working Group may guide the Project Team in developing the project plan and the scope of work for any vendor solicitations and contracts.</i>
Execution	<i>Responsible for all aspects of project execution, including managing changes in budget, timeline, and scope; reports on progress to the Bay Area UASI Project Manager and Working Group.</i>	<i>Provides oversight and support to the Lead during implementation, and is the single point of contact for all project matters, including compliance matters and changes in budget, timeline, and scope.</i>	<i>The Working Group hears progress updates from the Lead and provides technical input during project execution.</i>
Close Out	<i>Encouraged to document lessons learned with the Working Group; works with the Management Team to close out sub-grant allocations per Cal OES specifications.</i>	<i>With the Project Lead, encouraged to document and discuss project lessons learned with the Working Group</i>	<i>The Working Group applies lessons learned and inputs into portfolio evaluation and performance metrics to improve future project outcomes.</i>

IV. COMPLIANCE

To successfully complete the grant process, every jurisdiction and agency receiving federal homeland security program funds must comply with the rules, laws, and guidelines that govern federal grant awards. The Bay Area UASI Management Team Grants Management Unit provides oversight of grant activities through a review of an organization's processes and supporting documentation to ensure compliance. This section includes a list of compliance requirements and forms.

A. Policies and Procedures

The *Code of Federal Regulations Title 44 (44 CFR) 13.20 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments* describes post award requirements for grantees and sub-recipients. These requirements include: financial reporting, the maintenance of accounting records, and internal controls (among others). In order to ensure compliance with grant guidelines, each Bay Area UASI sub-recipient agency is required to develop and maintain a written policies and procedures manual that can be provided upon request to the Grants Management Unit. This manual should describe in detail the requirements as well as monetary thresholds for obtaining approvals to expend grant funds. All local policies and procedures are to be followed as long as they do not conflict with federal regulations or guidelines.

In addition to a Policies and Procedures manual, all sub-recipient jurisdictions should develop and maintain a written fraud policy. In Section II (Roles and Responsibilities) of this document, Item G defines fraud and provides information on what should be included in this policy.

B. Required Forms

Under certain circumstances, sub-recipients may be required to submit forms to the Bay Area UASI Management Team and receive state and/or federal approval prior to beginning the purchasing process. The following forms – Environmental and Historic Preservation, Aircraft, Watercraft, EOC, and Sole Source – can all be downloaded from the Bay Area UASI website (www.bayareauasi.org) and are to be completed and submitted to the pertinent Bay Area UASI Project Manager for submission to the Cal OES. The Bay Area UASI Project Manager will support the sub-recipient jurisdiction in identifying and completing required compliance requirements.

Environmental & Historic Preservation (EHP)

Federal environmental and historic preservation laws and executive orders provide the basis and direction for the implementation of EHP review requirements for FEMA-funded projects. As

described below, the purchase of certain equipment and the conduct of field-based training or exercises trigger the need for an EHP review. Moreover, EHP approval is required prior to either the ordering of equipment or the conduct of any training or exercise.

- All equipment must have an Authorized Equipment List (AEL) number in order to be eligible for grant funding. Using the Responder Knowledge Base website (www.rkb.us), sub-recipients must check the AEL number of the equipment item in question. Each item that may have an EHP requirement has a green box with the following language, “*Certain products in this category have been identified as requiring an Environmental and Historic Preservation (EHP) review. This does not apply to mobile and portable equipment, however all other items must be submitted for review. Please contact your assigned GPD Program Analyst or the Centralized Scheduling and Information Desk (CSID) at 1-800-368-6498 for further information.*” As indicated, if there is no green box or if the item is mobile or portable, no EHP is required.
- For training classes, only field-based training classes require the submission of an EHP.
- For exercises, only field-based exercises require the submission of an EHP.

In order to complete the EHP Form, sub-recipient project leads will work with their respective Bay Area UASI Project Manager to answer the pertinent questions. The form must include a brief, clear description of the project. If equipment is being purchased, the equipment quantity must be included and if the equipment is to be installed, aerial and ground level photographs are also required. If the EHP is for training or exercise, the physical location of the site (including longitude and latitude) must be provided.

Aircraft Form

If a sub-recipient jurisdiction is purchasing an aircraft or any equipment item that attaches to an aircraft, the Aircraft Form must be completed, submitted, and approved prior to ordering the equipment. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager. The Aircraft Form requires:

- A brief, clear description of the area that will be served by the requested equipment;
- A description of the equipment, quantities, and AEL numbers;
- A justification of need and how this purchase compares to other options;
- Identification of the applicable goals and objectives in the Bay Area UASI Strategy;
- How this equipment fits into the State/Urban Area's integrated operational plans;
- An explanation of the types of terrorism incident response and prevention equipment included
- A description of how the aircraft will be used operationally;
- A description of the use of the aircraft on a regular, non-emergency basis; and
- A signed letter on agency letterhead certifying that an existing aviation unit is operating and will continue to operate independent of the requested funding; including: a description of the active, operating aviation unit and certification that no expenses will be charged against the grant award for the operation of such aviation unit; and certification

that licensing, registration fees, insurance, and all ongoing operational expenses are the agency's responsibility and are not allowable under the grant.

Watercraft Form

If a sub-recipient is purchasing a watercraft or any equipment item that attaches to the watercraft, the Watercraft Form must be completed, submitted, and approved prior to ordering the equipment. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager. The Watercraft Form requires the following elements:

- Brief, clear description of the area that will be served by the requested equipment;
- Description of the equipment, quantities, and AEL numbers;
- Justification of need and how this purchase compares to other options;
- A description of the active, operating waterway patrol unit;
- Identification of the applicable goals and objectives in the Bay Area UASI Strategy;
- How this equipment fits into the State/Urban Area's integrated operational plans;
- How the waterway has been identified as a critical asset requiring state and/or local prevention and response capabilities;
- How the requested watercraft fits into the State/Urban Area's integrated operational plans and vulnerability assessment;
- Types of terrorism incident response and prevention equipment (including any specialized navigational, communications, safety, and operational equipment);
- How the watercraft will be used operationally;
- The use of the watercraft on a regular, non-emergency basis.
- A signed letter on agency letterhead certifying that licensing, registration fees, insurance, and all ongoing operational expenses are the responsibility of the grantee or the local units of government and are not allowable under this grant.

Emergency Operation Center (EOC) Form

If a sub-recipient is establishing or enhancing either its primary EOC or an alternate EOC, the EOC Request Form must be completed, submitted, and approved prior to ordering the equipment. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager. The EOC Form has the following required elements:

- Physical address of the facility;
- How the establishment/enhancement of this EOC improves the organization's ability to prevent, plan for, respond to, and recover from a terrorism event;
- All sources and uses of additional funds that are assisting the project in any way;
- Itemized breakdown of equipment by AEL number and cost; and
- Justification that the costs requested for the EOC are reasonable.

Sole Source Request Form

The *Code of Federal Regulations Title 44 (44 CFR) 13.36 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments* provides guidance for procurement using federal funds. In the case of sole source procurement, sub-recipient jurisdictions may follow their local requirements for procurement under \$100,000 as long as they do not violate any federal regulation.

However, if a sub-recipient jurisdiction wishes to make a sole source purchase over \$100,000, the Sole Source Request Form must be completed, submitted, and approved prior to expending funds. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager to complete the form. The Sole Source Request Form requires the following elements:

- Brief, clear description of the proposed project or activity to be provided by the sole source vendor/contractor;
- Vendor's contact information;
- A list and description of the equipment as well as the AEL number and the cost if the proposed sole source is for equipment;
- Description of their agency's standard procedures when sole source contracting is considered;
- Why a sole source is needed (i.e., only available from one source, a public urgency or emergency, or only one bid received);
- Assurance that the contractor is not suspended or debarred;
- Guarantee that the funds can be spent prior to the end of the grant performance period; and
- Justification that costs are reasonable.

In addition, the sub-recipient jurisdiction must submit a cost benefit analysis as part of the Sole Source Request Form. This should include specific financial information and analysis that shows the financial benefit of the purchase to the agency. Examples of pertinent information in a cost benefit analysis may include information such as: savings involving personnel and staffing requirements; training cost savings as a result of interoperable equipment; or needing to make multiple purchases to otherwise obtain the same result with the requested item. The cost benefit analysis should not include information that is not pertinent to the financial analysis (i.e. safety benefits to the staff).

C. Performance Bonds

Many sub-recipient jurisdictions are unable to procure large equipment items with homeland security grant funds due to the fact that vendors are frequently unable to deliver such items within the federal grant period. To help address this issue and allow sub-recipients to be able to procure large equipment items with homeland security grant funds, FEMA allows sub-recipients to obtain a "performance bond."

To obtain a performance bond, the sub-recipient jurisdiction pays for the equipment item up front (upon receiving a valid vendor invoice prior to the stipulated delivery date) and receives an assurance from the vendor that the item will be delivered within 90 days of the state's performance period. The performance bond, therefore, acts as an insurance policy for the sub-recipient jurisdiction. Upon payment of the equipment cost and the performance bond, the sub-recipient jurisdiction may seek reimbursement from the Bay Area UASI Management Team, rather than having to wait to seek reimbursement until after the delivery of the equipment.

Per the California State Supplemental Guidance, sub-recipients must obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft, or watercraft financed with homeland security dollars. Sub-recipient project leads should work with their respective Bay Area UASI Project Managers to determine the exact date that must be used in the performance bond. The cost of a Performance Bond is typically 1-3 % of the cost of the item.

D. Travel

If a sub-recipient jurisdiction requests funding for travel, the Bay Area UASI Travel Policies and Procedures Manual is to be followed (See Section VIII of this Manual). Sub-recipient project leads should consult with their Bay Area UASI Project Manager and must provide adequate written justification and documentation. All travel must fall within the intent of the overall travel policy. To be in compliance with the Bay Area UASI Travel policy, all travel requires a written request and approval by the requestor's direct supervisor and the Bay Area UASI General Manager. If the request is for travel for a national association or board, a written request must be submitted to, and approved by, the Bay Area UASI Approval Authority. Lastly, if the request is for travel to a non-continental US destination or for international travel, a written request and approval must be submitted to, and approved by, the Bay Area UASI Approval Authority, the Bay Area UASI General Manager, Cal OES, and FEMA. The international travel process takes over six months and requires extensive documentation.

E. Match

Cost sharing or matching means that a portion of the costs of a federally assisted project or program is borne by the sub-recipient and not by the federal government. In order to meet a cost share or match requirement, sub-recipient jurisdictions must provide either cash or in-kind contributions. In order for matching funds to be eligible, only allocable and allowable costs under the appropriate costs principles and program eligibility requirements are allowed. Further, they must have been expended within the performance period of the award and provide direct support for the program or project for which the funds were awarded. All matching funds must be supported by source documentation and cannot have been included as a cost or used to meet cost share or match requirements for another federal award unless authorized by statute. Lastly, any matching funds must be treated on a consistent basis by the sub-recipient.

F. Grant Extensions

Congressional concerns over unspent federal homeland security grant funds have led to shortened grant performance periods and stricter adherence to grant timelines. FEMA approves extension requests only due to compelling legal, policy, or operational challenges. Such requests are approved infrequently, on a case by case basis, and typically not until the very end of the performance period.

If an extension request is warranted, sub-recipient jurisdictions should first contact their Bay Area UASI Project Manager. If approved at the Bay Area UASI level, a request will be sent by the UASI Management Team to Cal OES for approval. Sub-recipients will be notified of the state's decision when it has been received by the UASI Management Team.

V. PROCUREMENT

Procurement includes hiring, purchasing of supplies, and soliciting for professional services. The Bay Area UASI Management Team has responsibility for oversight of procurement processes that utilize federal funds received by the Approval Authority. The Grants Management Unit of the Management Team ensures compliance with federal laws, regulations, executive orders, OMB circulars, departmental policy, award terms and conditions, and state and local requirements.

When a jurisdiction is the sub-recipient of award funds, the sub-recipient is responsible for procurement processes and should use procurement procedures and regulations from that jurisdiction, provided these procurement procedures and regulations conform to applicable federal law and standards.

In cases when a project does not include sub-recipient funding, all procurement processes are the responsibility of the Bay Area UASI Project Manager, working in partnership with the Grants Management Unit. Such procurements are conducted per the policies and procedures of the City and County of San Francisco as the Bay Area UASI fiscal agent.

A. Types of Agreements

The Bay Area UASI Program, through the Grants Management Unit, administers three types of contracting agreements:

- ***Memoranda of Understanding (MOU)*** – This is an agreement between the City and County of San Francisco, in its capacity as the fiscal agent for the Bay Area UASI, and a sub-recipient jurisdiction. This document is a requirement when a jurisdiction is a sub-recipient of federal award funds.
- ***Letters of Agreement (LOA)*** – This is an agreement between the Bay Area UASI, acting by and through the Bay Area UASI Management Team, and another department within the City and County of San Francisco.
- ***Professional Services Contract*** – This is an agreement between the City and County of San Francisco and a vendor for services that require advanced specialized knowledge or expertise.

B. Content of the MOU/LOA

MOUs and LOAs consist of the following sections:

- ***Boilerplate Agreement***

The boilerplate of an MOU contains the following twelve articles:

- Article 1 – Definitions
- Article 2 – Allocation and Certification of Grant Funds; Limitation on San Francisco’s Obligations
- Article 3 – Performance of the Agreement
- Article 4 – Reporting Requirements; Audits
- Article 5 – Representations and Warranties
- Article 6 – Indemnification and General Liability
- Article 7 – Events of Default and Remedies; Termination for Convenience
- Article 8 – Assignments
- Article 9 – Notice and Other Communications
- Article 10 – Miscellaneous
- Article 11 – Insurance
- Article 12 – Compliance

The boilerplate of an LOA contains the following two articles:

- Article 1 – Performance of the Agreement
 - Article 2 – Notices and Other Communications
- ***Appendix A*** – “Authorized Expenditures and Timelines,” which details information by solution area (Planning, Organization, Equipment purchase, Training, and Exercises–POETE), program description, deliverable due date, and amount. See next section, “C. Appendix A – Authorized Expenditures and Timelines,” for more information on allowable costs and requirements for reimbursement.
 - ***Appendix B*** – “Grant Assurances,” which outlines compliance requirements and the sub-recipient’s obligations under the grant. Each page of this document must be initialed and signed by an authorized agent. See the template in Section VII.
 - ***Appendix C*** – “Form of Reimbursement Request,” which must be submitted to the Bay Area UASI Management Team when requesting reimbursement along with Schedule 1 (list of authorized expenditures) and Schedule 2 (grant match documentation, if applicable). See the template in Section VII. Grant match documentation must include all cash appropriations of non-federal funds and all in-kind services (in dollar values) that the sub-recipient intends to use for its grant match. The sub-recipient may not submit a reimbursement request until the Grants Management Unit approves the grant match plan.

C. MOU/LOA Appendix A - Authorized Expenditures and Timelines

All allowable UASI sub-grant award expenditures must fall into one of six solution areas: Planning, Organization, Equipment purchase, Training, and Exercise (POETE). The MOU/LOA Appendix A template can be found in Section VII of this manual.

Planning

The MOU/LOA obligations regarding planning include:

- **Personnel** – Prior to any sub-recipient expenditures for personnel, sub-recipients must submit completed job descriptions to the Project Manager detailing the planning activities the personnel will complete and the deliverables that will be produced. Prior to reimbursement, the sub-recipient must submit the following: all functional time sheets or allocation plans, payroll documentation or cancelled checks showing payment of salaries and benefits, and work product or certification that work was completed.
- **Contracts** – All contracts must comply with the contracting laws and best practices of their jurisdictions. See “Approval of Vendor Solicitations and Contracts” under “C. Planning” in Section III on the project cycle above for more information on criteria that should be met and Section IV (Sole Source Request Form) as appropriate.
- **Travel** – Travel for planning activities must be pre-approved by the UASI General Manager or designee prior to scheduling, per the Bay Area UASI Travel Policy (see Appendix B) and Section IV (Travel) above. Invoices must include all backup documentation, including conference agendas, programs, brochures, lodging receipts, per diem calculations, airfare receipts/boarding passes, mileage calculations, and proof of payment.

Organization

Eligible organization expenses that must be documented in the MOU/LOA include:

- Responding to an increase in the threat level under the Homeland Security Advisory System or needs resulting from a National Special Security Event;
- Establishing, enhancing, and staffing State and Major Urban Area fusion Centers;
- Paying salaries and benefits for personnel to serve as qualified intelligence Analysts; and
- Paying related Overtime and Operational Overtime costs.

Equipment

The MOU/LOA obligations for equipment include:

- As allowable under federal guidelines, procurement of equipment must follow local policies and procedures for competitive purchasing.
- At a minimum, more than one quote or bid must be obtained, unless a sole source is justified (see Section IV- Sole Source Request Form- above). If sole source approval is needed, the sub-recipient project lead the sub-recipient project lead must transmit the request to the Project Manager for submission to the State. Such approval must be received prior to the purchase of the equipment.
- EHP approval, if required (see Section IV- EHP Form- above). If not previously identified, such a requirement will be conveyed by the Project Manager to the sub-recipient project lead the sub-recipient project lead during the project planning stage. When such an approval is required, the Project Manager will work with the sub-recipient jurisdiction Project Lead to complete the form.
- A performance bond for any aircraft, watercraft, or vehicle as well as any individual equipment item in excess of \$250,000 is required.
- Prior to reimbursement, the sub-recipient must submit to the Grants Management Unit all invoices, Authorized Equipment List (AEL) numbers, EHP or Sole Source approval letters, and a list of all equipment identification numbers and the deployed locations.

Training

The MOU/LOA obligations for training include:

- All training courses must be pre-approved by Cal OES. If the training should be field-based, EHP approval is required (see Section IV- EHP Form- above).
- Training course expenses may include backfill/overtime, travel, tuition, per diem or other grant eligible expenses.
- When seeking reimbursement for grant eligible expenses, the sub-recipient must submit the following:
 - Completed financial management workbook training ledger page indicating course title, feedback number, and sub category (e.g., overtime, backfill, course development);
 - Copy of the EHP approval letter (as applicable);
 - Registration receipts and agendas; and

- Copies of participant sign in sheets and certificate of completion.

Exercise

The MOU/LOA obligations for exercise include:

- All field-based exercises and associated sites require EHP approval.
- Exercise expenses may include backfill/overtime, travel, tuition, per diem or other grant eligible expenses.
- When seeking reimbursement for grant eligible expenses, sub-recipients must submit the following:
 - Completed financial management workbook exercise ledger page indicating exercise title and sub category (e.g., overtime, backfill, course development);
 - Copy of EHP approval letter (as applicable);
 - Copy of After Action Report (due to Cal OES no later than 60 days after the exercise; and
 - Copies of participant sign in sheets.

D. Executing the MOU

It takes approximately three months for an MOU to be drafted and approved, but may take longer depending on the workload of the participating parties, the complexity of the document, and especially the length of time it takes to get the agreement calendared for approval at local boards and city councils. The following is a sample process and timeline for MOU agreements. This applies both to MOUs drafted for the first time as well as modifications to existing agreements.

1. ***Drafting of Appendix A*** – The Bay Area UASI Management Team drafts the Appendix A of the agreement in close cooperation with both the sub-recipient jurisdiction and the Grants Management Unit (as needed) – (5 working days).
2. ***Grants Management Unit Review*** – The Grants Management Unit reviews and approves the Appendix A from a compliance perspective as well as compiles required documentation for the agreement, such as the boilerplate language and other appendices – (5 working days).
3. ***City Attorney Review*** – Once approved by the Grants Management Unit, the Grants Management Unit forwards the agreement to the City and County of San Francisco City Attorney for review – (10 working days).

4. ***Sub-recipient Signature*** – Once approved by the City Attorney, the Grants Management Unit PDFs the document and sends it to the sub-recipient jurisdiction/City department for signature. Typically, jurisdictions will calendar the MOU for approval at a board or city council meeting, which can take several weeks – (30 working days).
5. ***City Attorney Signature*** – Once two (2) original MOUs signed by the sub-recipient are returned, the Grants Management Unit sends the documents to the City and County of San Francisco City Attorney for signature – (5 working days).
6. ***DEM Signature*** – Once signed by the City Attorney, the Grants Management Unit sends the agreement to the Director of the City and County of San Francisco Department of Emergency Management (DEM) for signature – (5 working days).
7. ***Final Project Approval*** – The agreement is now finalized, and projects may now be reimbursed for expenses incurred during the time period specified in the MOU agreement.

E. Modifications to the MOU

Sub-recipients should immediately notify the Bay Area UASI Project Manager in the event they may not be able to meet their deliverable due dates and specifications as approved in their MOU document. Sub-recipient jurisdictions may request changes to project timeline, scope, and budget via the Project Change Request Form (see “Change Management” under “Execution” in Section III above). When such changes are approved and affect the final end date or overall amount of funding included in the MOU, the MOU must go through a formal amendment process, detailed in the section above. In all other instances of changes to the MOU, an approved Project Change Request Form will generate a Modification Notice detailing the approved revisions in the MOU, which must be signed by the General Manager or designee, City and County of San Francisco City Attorney, and the relevant sub-recipient jurisdiction to indicate agreement to the revisions.

Per the timeline above, an MOU modification request takes roughly three months to process and could take longer depending on the workload of applicable parties, the complexity of the document, the proposed changes, and length of time needed to calendar the approval before local boards and city councils. Sub-recipients should not expend funds until the MOU agreement has been formally updated and signed.

F. Cal OES Assurances and Certifications

The California Office of Emergency Services (Cal OES) is required by law to obtain written certification of compliance. It requires the Bay Area UASI to submit the Certification of Assurance of Compliance Form. This form is a binding affirmation to comply with:

- State and federal civil rights laws;
- Drug Free Workplace Program;
- California Environmental Quality Act;
- Federal grant fund requirements;
- Lobbying restrictions;
- Debarment/suspension requirements; and
- Proof of Authority from the city council/governing board.

Similarly, the Bay Area UASI Management Team requires sub-recipient jurisdictions to sign grant assurances for the items listed above and other statements as outlined in the Appendix B (Grant Assurances) of the MOU/LOA. See template in Section VII.

G. San Francisco Procurement Process for Professional Services Contracts

In cases in which a project does not include sub-recipient funding, all procurement processes are the responsibility of the Bay Area UASI Management Team Project Manager, working in partnership with the Grants Management Unit. In such instances, procurement is conducted according to the policies and procedures of the City and Country of San Francisco as the Bay Area UASI fiscal agent.

These general rules apply under San Francisco's procurement process for professional services contracts:

- **Contract amount of \$0 - \$10,000** – No solicitation is required. However, grant guidelines require some type of comparative pricing.
- **Contract amount over \$10,000 but less than \$100,000** – Informal solicitation required. The Project Manager must informally solicit bids. Ideally, at least three bids should be collected and evaluated by the Project Manager.
- **Contract amount of \$100,000 or more** – Formal solicitation is required. The Project Manager must follow the rules and procedures of a formal solicitation process as described next.

Additionally, in cases in which a project is following San Francisco procurement policies and procedures, and a contract amount is \$50,000 or more, the Bay Area UASI Management Team must seek review and approval from the San Francisco Civil Service Commission.

There are two main instruments used in the procurement of professional service contracts:

- **RFP (*Request for Proposals*)** – An RFP process evaluates specific proposals that perform a specific service. The highest scoring proposal wins the opportunity to negotiate a contract.
- **RFQ (*Request for Qualifications*)** – An RFQ evaluates qualifications (e.g., resumes, references, etc.) to establish whether proposers are qualified to perform the requested services and establishes such qualifications for a duration limited to two years. During this time, the City and County of San Francisco may enter into contract negotiations with any qualified firm for services specified within the original RFQ.

The Bay Area UASI Management Team, on behalf of the City and County of San Francisco, will advertise the RFP/RFQ opportunity on the San Francisco Office of Contract Administration website (<http://mission.sfgov.org/OCABidPublication/>) and the Bay Area UASI website. Once the proposals submission deadline has occurred, the Management Team will convene a panel comprised of regional subject matter experts to evaluate and vet the proposals. The panel will choose the best respondent and the Project Manager will lead negotiations with the winning respondent to develop the professional services contract. See “Approval of Vendor Solicitations and Contracts” under “C. Planning” in Section III on the project cycle above for details on requirements that must be met in the solicitation, selection, and negotiation/contract stage of contract development.

All vendors who do business with the City and County of San Francisco must also obtain a vendor number, submit a federal W-9 form, and provide a San Francisco P-25 Business Tax Declaration. They must also meet the City’s Equal Benefits Ordinance, Minimum Compensation Ordinance, and Healthcare Accountability Ordinance.

In the City and County of San Francisco, a sole source request must be made to the Office of Contract Administration/Purchaser’s Office if any of the following apply:

- The commodity or service is only available from one source;
- There is only one vendor willing to enter into a contract with San Francisco;
- The item has design and/or performance features that are unique and essential to San Francisco’s needs; and/or
- The product is a licensed or patented good or service that limits its availability.

An approval from Cal OES is also required for sole source processes using federal funds administered by the Bay Area UASI in amounts over \$100,000

H. Federal Procurement Guidelines

When a jurisdiction is the sub-recipient of award funds, the sub-recipient is responsible for procurement processes and may use their own procurement procedures and regulations, provided these conform to applicable federal law and standards. Sub-recipient jurisdictions are responsible for reviewing Title 44 on Emergency Management and Assistance in the Code of Federal Regulations (CFR) to confirm consistency.

Section 13.36 of Title 44 highlights the following due diligence requirements when procuring commodities/services with federal funds:

- Conduct reasonable cost/price analysis;
- Encourage the use of federal excess and surplus property;
- Reach out to Minority/Women Enterprise;
- No geographical preference allowed;
- Maintain full and open competition;
- Do not preclude vendors or conduct restrictive competition;
- Maintain written code of contracting standards;
- Include processes for hearing protests and disputes;
- No conflict of interest in selection process; and
- Maintain records to detail the history of procurement.

Section 13.36 also identifies four different types of procurement processes:

- 1) Procurement by small purchase procedure is a relatively simple and informal procurement method for securing services, supplies, or other property that doesn't cost more than \$100,000.
- 2) Procurement by sealed bid is when bids are publicly solicited and awarded to the responsible bidder whose bid, conforming to all the material terms and conditions of the invitation for bids, is the lowest in price.
- 3) Procurement by competitive proposal involves a method for evaluating all proposals and awarding to the firm whose proposal is most advantageous to the program, when price and other factors are considered.
- 4) Procurement by non-competitive proposals (sole source) may be used when the item is only available from a single source, is a public emergency, the grantor authorizes a noncompetitive process, or, after solicitation from a number of sources, competition is determined inadequate.

VI. FINANCIAL MANAGEMENT

The City and County of San Francisco serves as the fiscal agent for the Bay Area UASI through a resolution, passed by the Board of Supervisors of the City and County of San Francisco, recognizing this fiduciary role. This allows the Bay Area UASI Management Team, functioning as a separate arm of the San Francisco Department of Emergency Management, to execute projects with the upfront financial support of the City and County of San Francisco with reimbursement coming back to the City and County. The San Francisco Controller's Office, City Attorney's Office, and Office of Contract Administration provide fiscal, legal, and contract program support to the Bay Area UASI.

The Bay Area UASI Management Team's Grants Management Unit has responsibility for financial management of federal funds received by the Approval Authority. The Grants Management Unit is responsible for the administration of 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. The Grants Management Unit must also make certain all activities carried out under the Bay Area UASI grant program are reasonable and allowable, and maintain complete and accurate records of all program activities.

A. Grant Award

A grant award letter, when signed by the Director or designee of the California Office of Emergency Services (Cal OES), becomes a "Grant Award" which contains the terms and conditions of the grant. The Grant Award Letter is an agreement between Cal OES and the Bay Area UASI. All projects funded from the Grant Award must conform to the agreement as specified. Failure to do so may result in the withholding or disallowance of grant payments on current or future Cal OES grants, the reduction or termination of the Grant Award, and/or the denial of future Grant Awards. The Bay Area UASI must comply with all applicable federal/state laws and regulations.

B. Post-Award

As a condition of accepting federal funding, the Bay Area UASI is required to maintain an accounting system and financial records to accurately account for awarded funds. These records include both federal funds and all appropriate matching funds. The Bay Area UASI Management Team, through its Grants Management Unit, is responsible for all aspects of this, including proper accounting and financial recordkeeping by all sub-recipients. Responsibilities include: the accounting of receipts and expenditures, cash management, maintenance of adequate financial records, and refunding expenditures disallowed by audits.

Accounting Responsibilities

The Bay Area UASI Grants Management Unit and sub-recipient jurisdictions have the following accounting responsibilities:

- ***Reviewing Financial Operations*** – The Grants Management Unit must be familiar with, and periodically monitor, its sub-recipients’ financial operations, records, systems, and procedures. Particular attention is directed to the maintenance of current financial data.
- ***Recording Financial Activities*** – The Grants Management Unit and sub-recipients must record in summary form the sub-recipient’s award or contractual obligation as well as cash advances and other financial activities. Sub-recipients should record expenditures or evidence them by report forms duly filed to the Grants Management Unit. Non-federal contributions applied to programs or projects by sub-recipients should likewise be recorded by sub-recipients, as should any program income resulting from program operations. All financial records must validate expenditures related to the respective sub-recipient grant(s).
- ***Budgeting and Budget Review*** – The Grants Management Unit must ensure that each sub-recipient prepares an adequate budget on which its award commitment will be based. The detail of each project budget should be maintained on file by both the sub-recipient and the Grants Management Unit.
- ***Accounting for Non-federal Contributions*** – The Grants Management Unit and sub-recipients must ensure that the requirements, limitations, and regulations pertinent to non-federal contributions are applied.
- ***Audit Requirements*** – The Grants Management Unit must ensure that sub-recipients have met necessary audit requirements.
- ***Reporting Irregularities*** – Sub-recipients must promptly notify the Bay Area UASI Management Team, who in turn will notify the state and the federal cognizant audit agency, of any illegal acts or irregularities and of proposed and actual actions, if any.

Illegal acts and irregularities include conflicts of interest, falsification of records or reports, and misappropriation of funds or other assets. Should the Bay Area UASI Management Team become aware of any criminal activity related to federal assistance, these criminal acts should be reported to the appropriate law enforcement agency. Please see the fraud policy included in Section II of this Manual for more information.

- ***Debarred and Suspended Organizations*** – The Bay Area UASI and its sub-recipients must not award or permit any award at any level to any party that is debarred or suspended from participation in federal assistance programs.
- ***Bonding*** – The Bay Area UASI may require adequate fidelity bond coverage where the sub-recipient lacks sufficient coverage to protect the federal government interest (see OMB Circular A-110, Subpart C, paragraph 21© and OMB Circular A-122).

Grant Accept and Expend

For grants that are not included in the City and County of San Francisco’s Annual Appropriation Ordinance (AAO) or gifts in amounts of \$100,000 or greater, special grant accept and expend processes must be followed in order to obtain spending authority from the San Francisco Board of Supervisors. In such circumstances, the Bay Area UASI must submit an Accept and Expend Resolution. Legislation in the form of an ordinance amending the San Francisco Annual Salary Ordinance (ASO) must be submitted if new positions are being created.

Financial System and Structure

The City and County of San Francisco’s Financial Accounting and Management Information System (FAMIS) provides an accounting and internal administrative control system for Bay Area UASI funds. It includes a general ledger accounting structure, subsidiary accounting records, and procedures that define how, and by whom, the funds are handled. Accounting records identify the receipt and the expenditure of all Cal OES funds. The system also conforms to Generally Accepted Accounting Principles (GAAP), provides a record of the amount and disposition of all project funds, shows receipt of funds and expenditures by source (e.g., federal, state, or local), and separately identifies match funds and related expenditures.

Budgetary Controls

The Bay Area UASI Management Team utilizes the budgetary control features found in FAMIS to facilitate analysis of the budget and to ensure that separate tracking and reporting are properly performed. The system also allows accurate accounting of funds by project, sub-recipients, and categories/solution areas. These categories/solution areas are: Planning, Organization, Equipment purchase, Training, Exercises, and Management and Administration.

Obligation of Funds (Encumbrance)

Obligations (encumbrances) are a legal liability to pay, under a grant and/or contract, determinable sums for services or goods incurred during a period of performance. An encumbrance occurs when funds are set aside to pay for a particular expense. This includes, but is not limited to, orders placed, contracts and grants awarded, services received, and similar transactions that require payment during the same or a future period. The Bay Area UASI Grants Management Unit enters these into the FAMIS accounting system based on documents such as approved service contracts, Memoranda of Understanding (MOU), Letters of Agreement (LOA), or requisitions for supplies and services.

Once an encumbrance is made in the FAMIS system, the funds are committed to a specific use and are no longer available for other expenditures. However, since the goods or services have not yet been received, legally, the project does not yet owe anything to the vendor or supplier.

An encumbrance is defined by the following three characteristics:

- The expenditure is approved in the original MOU/LOA budget or a subsequent sub-grant award modification;
- A formal written order or request (i.e., requisition) is approved by the Bay Area UASI Management Team prior to the end of the grant period; and
- A purchase order/contract has been submitted to the vendor or supplier of goods or services.

Expenditure of Funds

The Bay Area UASI Grants Management Unit must make certain all activities carried out under the Bay Area UASI grant program are reasonable and allowable. All allowable UASI grant expenditures fall into one of six categories/solution areas, must support the eight National Priorities and the Bay Area and State homeland security strategies, as well as enhance regional capabilities. Typically, the Bay Area UASI Management Team has 90 days after the end of the MOU/LOA term to liquidate obligated funds.

To be allowable, costs must meet the following general criteria:

- Be necessary and reasonable for proper and efficient performance and administration of the sub-grant award;
- Be allocable under federal and/or state provisions;
- Be authorized or not prohibited under federal, state or local laws or regulations;
- Conform to any limitations or exclusions set forth in applicable federal cost principles, federal laws, terms and conditions of the award, or other governing regulations as to types or amounts of cost items;
- Be consistent with policies, regulations, and procedures that apply uniformly to both federal awards and other activities of the governmental unit;
- Be accorded consistent treatment;

- Be determined in accordance with Generally Accepted Accounting Principles (GAAP);
- Not be included as a cost or used to meet cost sharing or matching requirements of any other federal award in either the current or a prior period, except as specifically provided by federal law or regulation;
- Be the net of all applicable credits; and
- Be adequately documented.

Personnel Costs and Functional Timesheets

Salaries and benefits of personnel involved in more than one sub-recipient grant project must be charged to each based on the actual percentage of time spent. The annualized actual percentage charged for a particular position (e.g., Exercise Director) cannot exceed the annual percentage stated in the MOU. Similarly, the dollar amount charged for a particular position also must not exceed the approved dollar amount in the MOU or any subsequent modifications.

Functional timesheets must be maintained which support the time charged to grants. All grant-funded personnel must maintain time cards/sheets that indicate, on a daily basis, the actual time worked on each project and account for all the time worked by the employee during the pay period. Time cards/sheets must be signed by the employee and their supervisor.

Reimbursement

The UASI grant program is a reimbursement-based grant, meaning the grantee (State), sub-grantee (Bay Area UASI), and sub-recipient (local jurisdictions) must first expend funds prior to seeking reimbursement. The sub-recipient will first expend local general funds to pay for pre-approved and allowable UASI grants program expenses and then submit a request for reimbursement to the Bay Area UASI Grants Management Unit. The Grants Management Unit reimburses the sub-recipients and then may seek reimbursement from Cal OES.

The Grants Management Unit will reimburse sub-recipients within 30 business days as long as supporting documentation is complete and compliant. Partial reimbursements will be remitted for supporting documentation that is sufficient. The sub-recipient must submit requested supporting documentation within 45 business days of the final deadline for claims. The sub-recipient will not be reimbursed if the documentation is not submitted within this period. Sub-recipients are encouraged to submit claims when significant milestones are met and/or project completion is accomplished in advance of the deadline (subject to documentation requirements). See Section V above on authorized expenditures and timelines for details on documentation that sub-recipients must submit with their claims for reimbursement. See also Section VII for a reimbursement template for sub-recipients.

Reporting

Reporting requirements must be met throughout the life of all sub-grant awards. Cal OES utilizes grant tools such as the Financial Management Forms Workbook (FMFW) and Biannual Strategy Implementation Reports (BSIR) to accomplish reimbursement requests and other reporting requirements from the Bay Area UASI.

The FMFW is used for different grant programs as a resource for completing the Grants Reporting Tool required by FEMA. It also serves as a tool for the Bay Area UASI Management Team's portfolio analysis and tracking. This form consists of equipment inventory and organization, training, planning, exercise, and match rosters.

The Bay Area UASI is responsible for providing updated obligation and expenditure information on a semi-annual basis to Cal OES for the Semi Annual Progress Report, or SAPR. Cal OES, as the applicable State Administrative Agent (SAA), is responsible for completing and submitting the final BSIR reports which are a component of the SAPR. The BSIR submission satisfies the narrative requirement of the SAPR. The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). The Bay Area UASI Grants Management Unit must provide updated obligations and expenditure information with the BSIR to show progress made toward meeting strategic goals and objectives. Failure to submit a single BSIR report may result in a notification letter of delinquency to the San Francisco Board of Supervisors and the possible reduction of future funding awards by 10%. Additionally, the UASI risks having a hold placed on pending reimbursements.

Grants Reconciliation

Reconciliation is the process of bringing invoices, reports, and cash requests into balance with revenue and expenditure as of a particular period of time in FAMIS. The Bay Area UASI Grants Management Unit staff performs procedures that verify balances and transactions in FAMIS against supporting documentation such as vouchers, invoices, payroll records, etc. to comply with grant fiscal requirements. In addition to reviewing the Financial Management Forms Workbook and analyzing grant budgets, grants staff is also responsible for:

- Quarterly reconciliation of grants and responding to inquiries from the City and County of San Francisco Controller's Office; and
- Annual reconciliation of federal expenditures by Catalog of Federal Domestic Assistance (CFDA) number in compliance with Single Audit requirements.

Audit

The Controller's Office of the City and County of San Francisco is responsible for producing an annual Single Audit Report in which major UASI sub-grant awards are audited by an independent CPA firm. This is in accordance with the requirements for audits established by OMB Circular A-133, to safeguard Cal OES assets, and to ensure accounting for all grant funds. The Management Team is required to forward a copy of the audit report to Cal OES within nine months after the fiscal year of the grant ending date. All sub-recipients of UASI sub-grant awards must maintain appropriate records to document grant compliance and are subject to audit by representatives of Cal OES, the State of California, and the United States Government.

C. Sub-recipient Financial Monitoring

A key component of post award financial management is sub-recipient monitoring. The Bay Area UASI Grants Management Unit is responsible for monitoring sub-recipients to determine:

- Effectiveness and efficiency of operations;
- Reliability of reporting and recordkeeping; and
- Compliance level.

The Grants Management Unit utilizes both desk-based reviews and annual on-site visits to monitor sub-recipients. Monitoring involves review and analysis of financial, programmatic, performance and administrative issues relative to sub-grant awards, and identifies areas where technical assistance and other support may be needed.

Desk-based

The Grants Management Unit reviews all transactions through a desk review prior to processing reimbursement requests to ensure compliance with federal regulations and the terms and conditions of the MOU with sub-recipient jurisdictions. Desk-based financial monitoring can result in the identification of exceptions and potential issues related to a sub-recipient's administration of grant funds. Examples of potential issues include financial reporting anomalies, inaccurate expenditure reporting, or a misunderstanding of or non-compliance with federal cash management requirements. Desk reviews provide high-level assurance for grants financial monitoring in which the Grants Management Unit can centrally collect and analyze information to assess a sub-recipient's capacity to manage federal funds.

On-site

The Bay Area UASI Grants Management Unit conducts site visits, sometimes in conjunction with Management Team Project Managers. The purpose of these visits is to assess the sub-recipient's capability, performance, and compliance in regards to the applicable elements that make up each sub-recipient grant. This includes administrative regulations and public policy requirements, as well as terms and conditions contained in the MOU with recipient jurisdictions. The goal of on-site financial monitoring activities is to ensure that sub-recipients possess adequate policies, processes, and systems to manage federal grant awards and to guard against fraud, waste, or mismanagement of funds. On-site financial monitoring activities involve collecting and analyzing information on the business functions and grant administration practices of the sub-recipients, including verification of equipment purchased with grant funds. Through these reviews, the Grants Management Unit assesses the sub-recipients' capacity to administer grants in compliance with federal regulations and evaluate sub-recipient performance in grant administration areas. Please see the Financial Monitoring Checklist in Section VII below.

Sub-recipient Responsibilities

In terms of sub-recipient financial monitoring, sub-recipient responsibilities include carrying out all terms and conditions of their MOU and maintaining complete and accurate records of all program activities. These records must be made available to the Bay Area UASI Management Team for monitoring purposes. The sub-recipient jurisdiction is also responsible for cooperating with monitoring processes, including resolving any monitoring findings (i.e., findings of non-performance or non-compliance) in a timely manner by a corrective action plan and/or technical assistance in association with Grants Management Unit staff.

Steps in the On-Site Financial Monitoring Review

To assist the sub-recipient in preparing for the monitoring visit, the Grants Management Unit provides the sub-recipient jurisdiction with a list of documents that will be reviewed, a description of the process, and the standards to which they must comply.

There are seven steps to an on-site financial monitoring review:

- 1) ***Pre-visit Notification Letter*** – The Grants Management Unit begins the monitoring process by emailing the sub-recipient jurisdiction a formal pre-visit notification letter informing them when the monitoring visit will take place and the length of it (usually a period of one to four days depending on the period(s) being monitored). The pre-visit letter explains the purpose of the visit, the process that will take place during the visit, and includes a document request list highlighting items that the sub-recipient must have available at the start of the visit. The letter also includes the name and contact information for the Grants Manager(s) who will conduct the monitoring.

- 2) **Field Document** – The Grants Manager emails the sub-recipient a field document at least four weeks prior to the monitoring visit. This field document reflects the scope of the monitoring review and guides the Grants Manager in deeming the level of compliance.
- 3) **Entrance Conference** – The Grants Manager conducts an entrance conference at the beginning of the monitoring visit with the Authorized Agent or other top official of the organization to make sure the sub-recipient has a clear understanding of the purpose, scope, and schedule of the monitoring.
- 4) **Documentation Review and Data Analysis** – The Grants Manager keeps a record of the information reviewed and conversations held with the sub-recipient during the monitoring visit. The documentation reviewed and obtained serves as the basis for conclusions drawn from the visit.
- 5) **Exit Conference** – The Grants Manager meets again with key representatives of the sub-recipient at the conclusion of the monitoring visit to:
 - Present preliminary results of the monitoring visit;
 - Provide an opportunity for the sub-recipient to secure any additional, requested documentation;
 - Explain the Monitoring Report, which may include areas of non-compliance or non-performance noted during the visit; and
 - Explain the corrective action plan process or provide technical assistance (if applicable).
- 6) **Monitoring Report** – Within four to six weeks after the monitoring visit, the Grants Manager provides the sub-recipient with a formal narrative report of the results of the monitoring review. The Monitoring Report creates a permanent record of what was found during the review. It points out areas for improvement as well as recognizes successes. In addition, the letter outlines any findings of non-compliance identified during the visit and the corrective action required to be in compliance.
- 7) **Corrective Action Plan** – If the Monitoring Report notes findings and corrective action requirements, the sub-recipient must provide to the Grants Management Unit a detailed corrective action plan within 30 days of the date of the Monitoring Report. The Plan must detail the corrective action steps the sub-recipient has undertaken, or will undertake, in addressing the noted areas of non-compliance or non-performance. If additional time is needed, a request for an extension must be submitted in writing 15 business days prior to the end of the 30 day period and approved by the Grants Manager.

D. Grant Closeout

The Grants Management Unit will work with sub-recipient jurisdictions and the Management Team Project Managers to make sure grant closeout is timely and complete. From a financial

management perspective, the closeout of a grant is the process by which the Cal OES notifies the Bay Area UASI that all applicable administrative actions and all required work of the grant have been completed through a grant closeout letter. Once the close out process is achieved, revenues must match expenditures, and all general ledger accounts must be cleared in FAMIS, the City and County of San Francisco's budget and accounting system.

VII. TEMPLATES

A. Proposal Template



FY2014 UASI PROJECT PROPOSAL FORM

This form is for informational purposes only
DO NOT USE THIS FORM TO SUBMIT A PROJECT!

1. OVERVIEW

HUB, Core City or Regional

Operational Area

Agency

Project Name

Total Project Cost

Allocation Requested

Minimum Allocation Request

PROJECT LEAD CONTACT INFORMATION

Name	Title
Business Phone	E-mail
Cell	Fax

DEPARTMENT HEAD CONTACT INFORMATION

Name	Title
Phone	E-mail
Department Head Approval	Yes No

2. PROJECT DESCRIPTION

Provide a description of this Project, including the planning, organization, equipment, training, and/or exercises that will be involved

PROJECT SUMMARY

Provide a brief description of your project.

A maximum of 375 character limit is allowed for this response

PROJECT DESCRIPTION

Provide a brief narrative describing the items or services being funded.

POETE elements (Planning, Organization, Equipment, Training and Exercises)

A maximum of 1850 character limit is allowed for this response.

PROJECT ACCOMPLISHMENT SUMMARY

Provide a brief description of the outcomes that will be achieved as a result of this investment.

A maximum of 375 character limit is allowed for this response

DESCRIBE EXISTING CAPABILITY LEVELS THAT SUPPORT THE IDENTIFIED GOAL AND OBJECTIVE (BASELINE)

Provide a brief description of your existing capabilities.

A maximum of 550 character limit is allowed for this response.

EXPLAIN THE CAPABILITY GAP(S) THAT THIS PROJECT IS INTENDED TO ADDRESS

Provide a brief description of the gaps your project addresses.

A maximum of 550 character limit is allowed for this response.

3. CORE CAPABILITIES For more information [CLICK HERE](#) to go to the FEMA Core Capabilities web page

Core Capability	Amount	%
Core Capability	Amount	%
Core Capability	Amount	%
		TOTAL 100%

4. COMPLIANCE REQUIREMENTS

Check Corresponding Box
Check all that apply

- This project will require a Request For Proposal
- This project will require a Performance Bond
- This project will require a Sole Source
- This project will require an Environmental & Historic Preservation
- This project will require an Emergency Operation Center Request Form
- This project will require an Watercraft Request Form
- This project will require an Aviation Request Form
- This project will require grant funded personnel (no supplanting)

State Forms Hyper Links: [SOLE SOURCE](#) [EHP](#) [EOC](#) [WATERCRAFT](#) [AVIATION](#)

5. POETE SOLUTION AREA

Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area. (Please provide amounts for all that apply)

Planning

Organization

THE ORGANIZATION FIELD IS FOR FUSION CENTER USE ONLY

Equipment

Training

Exercises

Total

LETPA Amount

(Law Enforcement Terrorism Prevention Activities)

EQUIPMENT

Optional, this space can be used to provide additional information about the equipment items

A maximum of 375 character limit is allowed for this response

For more information [CLICK HERE](#) to go to the FEMA Preparedness Grants Authorized Equipment List (RKB)

AEL#		QTY	Amount
AEL#		QTY	Amount
AEL#		QTY	Amount
AEL#		QTY	Amount
AEL#		QTY	Amount
AEL#	21GN-00-STAX Sales Tax		Amount
AEL#	21GN-00-SHIP Shipping		Amount
AEL#	21GN-00-INST Installation		Amount
PERFORMANCE BOND ESTIMATION (1-4% OF EQUIPMENT COST)			Amount
			TOTAL

6. ALIGNMENT WITH THE BAY AREA HOMELAND SECURITY STRATEGY

For more information [CLICK HERE](#) to go to the 2013 Bay Area Homeland Security Strategy Goals and Objectives

SELECT ONLY ONE GOAL and up to two Objectives within that goal for this project Goal

Goal 1. Strengthen the Regional Risk Management and Planning Program

Objective

Goal 2. Enhance Information Analysis and Infrastructure Protection Capabilities

Objective

Objective

Goal 3. Strengthen Communications Capabilities

Objective

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

Objective

Objective

Goal 5. Enhance Medical and Public Health Preparedness

Objective

Objective

Goal 6. Strengthen Emergency Planning and Citizen Preparedness Capabilities

Objective

Objective

Goal 7. Enhance Recovery Capabilities

Objective

Objective

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

Objective

Objective

7. PROJECT MILESTONES

Identify up to ten milestones to be achieved before the end of the twelve month period of performance under the FY 2014 UASI grant. Exact start and end dates of the period of performance are highly subject to change, due to currently unknown state and federal guidance. Our current best guess of the time frame is December 1, 2014 to December 31, 2015. Some Milestones can be achieved prior to the allocation of funding. No purchases can be made prior to completing the execution of your MOU. **For dates use (mm-dd-yyyy). Project Time is the number of months, round up**

Project Start

Project End

Project Time

Milestone #1

of days from the Project Start Date to complete this Milestone:

Milestone #2

of days from the Project Start Date to complete this Milestone:

Milestone #3

of days from the Project Start Date to complete this Milestone:

Milestone #4

of days from the Project Start Date to complete this Milestone:

Milestone #5

of days from the Project Start Date to complete this Milestone:

Milestone #6

of days from the Project Start Date to complete this Milestone:

Milestone #7

of days from the Project Start Date to complete this Milestone:

Milestone #8

of days from the Project Start Date to complete this Milestone:

Milestone #9

of days from the Project Start Date to complete this Milestone:

Milestone #10

of days from the Project Start Date to complete this Milestone:

8. RESOURCE TYPING

Complete this section for Equipment and Training Projects only

Instructions:

1. Choose from the drop-down menu to select whether the project is equipment or training, the NIMS Typed Discipline, NIMS Typed Resource and NIMS Type #, as published by FEMA's National Integration Center (NIC) that the equipment supports, if NIMS Typed.
 - 1a. If equipment or training is not NIMS Typed, choose "State/Local Other" in drop-down menu and provide State/Local typing or Community of Interest information in the Comments.
2. Choose whether the piece of equipment or training is to "Sustain Current" existing capabilities or will increase or "Add New" capability .
3. Choose the Primary Core Capability that the Typed Resource supports.
4. Enter the cost of the equipment or training.
5. Enter additional information in the Comments, including a brief description of whether the training or equipment purchased sustains existing capabilities; adds or improves an existing capability; or builds a new capability from scratch.

For more information [CLICK HERE](#) to go to the FEMA Resource Typing web site

Equipment or Training

NIMS Typed Disciplines

NIMS Typed Resource Supported

NIMS Type

State/Local Typed Resource Supported (if applicable)

Typed Equipment to be Purchased

of Personnel Trained for Typed Teams

of Typed Teams Trained

Sustain Current Capability or Add New Capability

Primary Core Capability Supported

Cost of Typed Equipment or Training

Comments

*A maximum of 300 character
limit is allowed for this
response*

**BEFORE YOU SUBMIT YOUR PROJECT PROPOSAL, PLEASE SAVE THE FILE AND EMAIL IT TO jeff.blau@sfgov.org.
Report any problems to Jeff Blau at 415-353-5234.**

B. Project Plan



Project Plan Template

Project Name:		Date of Document:	
Investment Area:		Project Lead:	
Sub-recipient Jurisdictions:	<ol style="list-style-type: none"> 1. 2. 3. 	Project Start and End Dates:	
Technical Working Group:		Budget Amount:	

I. Project Plan Document History

Note here if the current plan is an update to a previously approved plan. The notation should include the date and reason for the update. It is not necessary to provide a history of drafts; only approved plans.

Version	Date approved	Reason for update

II. Goals and Rational – (maximum one page)

- *Project Goals*
- *Problem Definition*
- *Project Linkage to Bay Area Homeland Security Strategy*
- *Project Origin and Evolution*

III. Project Outcomes– (maximum one page)

Describe the outcomes and benefits that will be achieved as a result of this project. The outcomes should demonstrate improvement towards building capabilities. Outcomes are the changes that occur or the difference that is made for individuals, groups, organizations, systems and communities as a result of the project. Outcomes express the result that your project intends to achieve if implemented as planned. (Do not confuse outcomes with outputs, which are often deliverables (tangible and direct products or results of program activities) and which lead to desired outcomes.) If applicable, also describe any key markers of project success. (For example: must perform safety testing to 125% of government standards, prototype must be ready for introduction at the annual training exercise, must be completed by January 1 to comply with the new regulation).

IV. Deliverables

Use this section to provide a detailed description of the project deliverable(s) and their requirements.

*A **deliverable** is a verifiable output or result of the project and can be products, services, or processes. Projects often create multiple deliverables, where some are "intermediate" and others are "final" deliverables. The primary purpose of any project is to create deliverables, and the quality of the deliverables will in large part determine the success or failure of the project. Intermediate deliverables often correspond to project milestones, and the final deliverable corresponds to the project completion (also a milestone). It's very important to know when the project will end, and the identification of the final deliverable is the best way to articulate this. Clearly define all the expected deliverables of the project and get buy-in from users/ key stakeholders at the start so that there are no surprises at the end. Make sure that everyone knows that the project will be over when the final deliverable has been completed.*

*A **deliverable requirement** is characteristic of the project deliverable(s) that reflects user/ stakeholder needs. The term applies equally to deliverables that are products, services, or processes. The intent of all projects is to create deliverables that will in some way solve a problem for the users/ stakeholders. If the requirements do not properly or adequately describe the deliverable, it is very possible that the deliverable will not solve the problem. There are numerous examples of so-called "successful" projects that finish on time and on budget but whose deliverables do not solve the defined problems. Deliverable requirements drive project scope (work) and, therefore, have a huge influence on the project schedule and budget. A poor understanding of product requirements will lead you to create an unrealistic schedule and budget.*

Work with your users and stakeholders early in the project to understand and document the deliverable requirements. Have them prioritize the requirements, and have your project team/ subject matter experts help you to estimate the level of effort needed to implement the requirements. Make sure to focus on final results, not process, and use the SMART standard (Specific, Measurable, Accurate (or Agreed to), Realistic, and Time-bound). If useful, refer to specific examples of similar deliverables from other projects to make defining the deliverable more concrete.

Start Date (sort order)	Deliverable	Requirements	Completion Date	Person Responsible

V. Budget

VI. Roles, Responsibilities, and Stakeholders – (maximum one page)

Summarize the roles and responsibilities and level of effort required of the following parties, if applicable to the project. Use specific names as available.

- Bay Area UASI Project Manager
- Project Team
- Sub-recipient Jurisdictions
- Other Participating Jurisdictions
- Users
- Consultants/ Vendors
- Working Group/ Technical Experts
- Other Stakeholders

Why is this section important? Describing roles and responsibilities helps project teams to think through the best way to share responsibility as well as what is needed to make the project a success, including clearly designating people with appropriate skills and level of authority to provide needed project management and decision making. In particular, it is important to speak with participants about the level of effort that will be required on their side and from whom, and document this in the project plan. Clarifying roles and responsibilities will also help provide guidance during implementation for tasks not specified or foreseen in the project plan.

VII. Communication – optional section

Provide a summary table on project communications to help plan what information will be communicated, to whom, by whom, how often, and in what medium/format.

Description and Purpose	Owner	Medium/Format	Participants	Frequency

VIII. Risks and Mitigation – optional section

Identify risks to project goals and outcomes, and explain how the project is designed to mitigate these risks or how to devise alternative plans of action.

What are project risks? *Risks are factors that are critical to the project’s success and possess some element of uncertainty. Include in your thinking on risk key assumptions you may have made in your project plan that could change.*

Examples of risk include:

- *Access to data and confidentiality/privacy regulations*
- *Workload/lack of participation*
- *Political developments*
- *Scope creep*
- *Potential or actual conflicts of interest*

Assumption, constraints, and dependencies – *You may also note key project assumptions and external dependencies in this section.*

IX. Approvals

This section provides the signature area. You are not required to obtain hard copy signatures – an electronic sign off or agreement to the project plan in a meeting can suffice. However, if you do not obtain hard copy signatures, then note the sign off event (i.e., date of meeting or email) in this section.

_____	_____
Bay Area UASI Project Manager	Date
_____	_____
Sub-recipient Jurisdiction Representative	Date
_____	_____
Sub-recipient Jurisdiction Representative	Date
_____	_____
Sub-recipient Jurisdiction Representative	Date
_____	_____
Bay Area UASI General Manager	Date

X. Appendices

Use appendices as needed for background information or detailed breakdowns of hours/costs.

C. Impartiality/Confidentiality Statement

Department, City/County
RFP/RFQ **Number and Name**
PROPOSAL EVALUATION

IMPARTIALITY/CONFIDENTIALITY STATEMENT

I, the undersigned, understand that I have been asked to participate in this Request for Proposals (“RFP”)/ Request for Qualifications (“RFQ”) evaluation process as an Evaluation Panelist, non-scoring proposal screener, or non-scoring observer to assist the **City/County** in choosing the best and most responsive entities to select for contract negotiations. I understand that I must give each entity a fair and independent consideration. I understand that although I may listen to the views of other participants, the comments and decisions I make regarding each entity must reflect my own impartial judgment on that entity’s proposal.

I understand that I should not participate in this RFP/Q screening or evaluation process if I have any conflict of interest that would prevent me from exercising impartial judgment as to each entity. Accordingly, I hereby attest that to the best of my knowledge neither I, nor any member of my immediate family (including my spouse/domestic partner and dependent children):

1. Have received income or gifts within the past year from any of the entities listed below;
2. Have any ownership interest or other direct or indirect investments, other than mutual funds, in any of the entities listed below;
3. Expect or intend to seek employment or any other relationship with any of the entities listed below;
4. Have any other direct or indirect interest in any of the entities listed below that would prevent me from exercising fair and impartial judgment when I participate on this RFP screening or evaluation process.

I understand that all information concerning this screening and/or evaluation process is of a highly confidential nature. I certify that I have not discussed and will not discuss any part of the RFP/Q screening or evaluation process with anyone outside of the screening or evaluation process, including Proposers and their subconsultants, and understand that I should not do so prior to completion of Proposer selection for contract award. Upon request, the **Department Contract Manager can inform you when that has occurred.**

Proposers:

Insert names of all Proposer(s)

Signature

Date

Print Name

Title, Department or Firm

D. Project Change Request Form



Bay Area UASI Project Change Request Form

Instructions:

Answer all questions or note that it is not applicable.

The TAB button will advance or back up (Shift+Tab) to the next field.

The ENTER button will enter check mark into multiple choice boxes.

Fields where currency is entered only need the numbers, the \$ and commas are entered for you

Some fields are limited in the number of characters. Additional pages may be submitted

Contact your Bay Area UASI Project Manager with questions.

1. Date Submitted: mm/dd/yyyy

2. Check all that apply:

Time Line Extension

Request:

Budget Change Request:

Scope Change Request:

3. Funding Type

Core City

Hub

Off the Top

4. Agency:

5. City or County

6. Name and Title

7. Phone # and E-mail:

8. Funding Source:

9. Project Name

10. Current Budget:

11. New Budget:

12. Amount for Re-Allocation:

13. Current Project Deadline: mm/dd/yyyy

14. Requested Project Deadline: mm/dd/yyyy

15. Briefly explain the goals and deliverables of the project.

16. What is the nature of the requested change(s)? (State new budget amount, explain scope change, and/or new project completion date.)

17. Why is change needed? (eg., Why is the project late, original budget estimates inaccurate, and/or original scope of work no longer appropriate?) If the requested changes are a result of planning or implementation errors, please explain how you have analyzed processes and learned lessons to avoid such errors in the future.

18. Do all the project stakeholders agree to the requested change(s)? Explain the relevant stakeholders and state the process by which they have been informed and have agreed to the requested change(s).

19. For equipment projects, please answer the following, as appropriate:

a. What is the time required for an RFP or sole source justification?

b. Equipment list, including AEL numbers and quantity/amount per AEL.

c. Anticipated equipment delivery dates.

d. Anticipated installation completion dates.

e. Is an EHP required?

Yes
No

If yes, has it been
obtained?

Yes
No

f. Is a Performance Bond
required?

Yes
No

If yes, has it been obtained?

Yes
No

g. For EOC Projects, has CalEMA
approval been obtained?

Yes
No

h. For watercraft/aircraft projects
has CalEMA approval been
obtained?

Yes
No

20. Additional Information:

21. To be completed by BAUASI Management Team staff after review:

Reviewed by:

Date: mm/dd/yyyy

Approved:

Comments:

Yes

No

The Bay Area UASI Project Change Request Review Process:

1. Sub-recipient Project Lead completes the Bay Area UASI Project Change Request Form and submits it to the assigned Bay Area UASI Project Manager (Note: The Sub-recipient Project Lead is the person who has key responsibility for implementation of the project).
2. Project Manager reviews the form for completeness.
3. Project Manager forwards the form to the Bay Area UASI Assistant General Manager via E-mail.
4. The Assistant General Manager reviews the form for approval and responds to the Project Manager via E-mail.
5. The Assistant General Manager distributes the form to the Chief Financial Officer and the General Manager, flagging the issue for Approval Authority approval, if necessary.
6. The Project Manager informs the Sub-recipient of approval or need for additional action/information.

The Management Team will respond to the requesting jurisdiction's project change request as soon as possible and within a time-frame of two weeks

Upon approval of the change request:

7. The Project Manager retains approved request form with other project documentation.
8. For time-line changes, the Bay Area UASI Grants Unit completes the CalEMA Performance Period Extension Request Form and sends it to the state for approval.
9. The Grants Unit makes updates to the Financial Workbook and processes changes to MOUs, if necessary.

E. MOU/LOA Appendix B - Grant Assurances

Name of Jurisdiction: FULL NAME OF SUBRECIPIENT JURISDICTION

Name of Authorized Agent: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone Number: (____) _____

Fax Number: (____) _____

E-Mail Address: _____

As the duly authorized representative of the SUBRECIPIENT, I certify that SUBRECIPIENT:

1. Will assure that grant funds will support efforts related to providing an integrated mechanism to enhance the coordination of national priority efforts to prevent, respond to, and recover from terrorist attacks, major disasters and other emergencies.
2. Has the legal authority to apply for Federal assistance and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the grant provided by the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) and sub-granted through the State of California, California Office of Emergency Services (Cal OES).
3. Will assure that grant funds are used for allowable, fair, and reasonable costs only and will not be transferred between grant programs (for example: State Homeland Security Program, Urban Area Security Initiative, Citizen Corps Program, and Metropolitan Medical Response System) or fiscal years.
4. Will comply with any cost sharing commitments included in the FY2010 Investment Justifications submitted to DHS/FEMA/Cal OES, where applicable.
5. Will give the Federal government, the General Accounting Office, the Comptroller General of the United States, the State of California, the Office of Inspector General, through any authorized representative, access to, and the right to examine, all paper or electronic records, books, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards and/or awarding agency directives.
6. Agrees that funds utilized to establish or enhance State and Local fusion centers must support the development of a statewide fusion process that corresponds with the Global Justice/Homeland Security Advisory Council (HSAC) Fusion Center Guidelines, follow the Federal and State approved privacy policies, and achieve (at a minimum) baseline level of capability as defined by the Fusion Capability Planning Tool.

7. Will provide progress reports, and other such information as may be required by the awarding agency, including the Initial Strategy Implementation Plan (ISIP) within 45 (forty-five) days of the award, and update via the Grant Reporting Tool (GRT) twice each year.
8. Will initiate and complete the work within the applicable time frame after receipt of approval from Cal OES.
9. Will maintain procedures to minimize the time elapsing between the award of funds and the disbursement of funds.
10. Will comply with all provisions of DHS/FEMA's codified regulation 44, Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, including the payment of interest earned on advances.
11. Will comply with all provisions of 48 CFR, 31.2, Federal Acquisition Regulations (FAR), Contracts with Commercial Organizations.
12. Will establish safeguards to prohibit employees from using their positions 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.
13. Understands and agrees 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 DHS/FEMA/Cal OES.
14. Agrees that, to the extent contractors or subcontractors are utilized, will use small, minority-owned, women-owned, or disadvantaged business concerns and contractors or subcontractors to the extent practicable.
15. Will notify Cal OES of any developments that have a significant impact on award-supported activities, including changes to key program staff.
16. Will comply, if applicable, with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of structures.
17. Will comply with all Federal and State Statutes relating to Civil Rights and Nondiscrimination. These include, but are not limited to:
 - a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin.
 - b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683 and 1685-1686), which prohibits discrimination on the basis of gender.
 - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps.
 - d. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age.
 - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse.

- f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism.
 - g. §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records.
 - h. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing.
 - i. Title 44 Code of Federal Regulations (CFR) Parts 7, 16, and 19 relating to nondiscrimination.
 - j. The requirements on any other nondiscrimination provisions in the specific statute(s) under which the application for Federal assistance is being made.
 - k. Will, in the event that a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, gender, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs.
 - l. Will provide an Equal Employment Opportunity Plan, if applicable, to the Department of Justice Office of Civil Rights within 60 days of grant award.
 - m. Will comply, and assure the compliance of all its subgrantees and contractors, with the nondiscrimination requirements and all other provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1.
18. Will comply with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. § 4601 et seq. [P.L. 91-646]) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply to all interested in real property acquired for project purposes regardless of Federal participation in purchases. Will also comply with Title 44 CFR, Part 25, Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-assisted programs.
19. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is ten thousand dollars (\$10,000) or more.
20. Will comply with all applicable Federal, State, and Local environmental and historical preservation (EHP) requirements. Failure to meet Federal, State, and Local EHP requirements and obtain applicable permits may jeopardize Federal funding. Will comply with all conditions placed on any project as the result of the EHP review; any change to the scope of work of a project will require reevaluation of compliance with these EHP requirements.
21. Will comply with all provisions of DHS/FEMA's codified regulation 44, Part 10, Environmental Considerations.
22. Agrees not to undertake any project having the potential to impact the EHP resources without the prior written approval of DHS/FEMA/Cal OES, including, but not limited to, ground disturbance, construction, modification to any structure, physical security enhancements, communications towers, and purchase and/or use of any sonar equipment. The subgrantee

must comply with all conditions placed on the project as a result of the EHP review. Any construction- related activities initiated without the necessary EHP review and approval will result in a noncompliance finding, and may not be eligible for reimbursement with DHS/FEMA/Cal OES funding. Any change to the scope of work will require re-evaluation of compliance with the EHP. If ground-disturbing activities occur during the project implementation, the subgrantee must ensure monitoring of the disturbance. If any potential archeological resources are discovered, the subgrantee will immediately cease activity in that area and notify DHS/FEMA/Cal OES and the appropriate State Historic Preservation Office.

23. Any construction activities that have been initiated prior to the full environmental and historic preservation review could result in non-compliance finding. grantees must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-01) and submit it, with all supporting documentation, to the GPD EHP team at GPDEHPinfo@fema.dhs.gov for review.
24. Grantees should submit the FEMA EHP Screening Form for each project as soon as possible upon receiving their grant award. The Screening Form for these types of projects is available at:
www.fema.gov/doc/government/grant/bulletins/info329_final_screening_memo.doc
25. Will ensure that the facilities under its ownership, lease or supervision, which shall be utilized in the accomplishment of this project, are not on the Environmental Protection Agency's (EPAs) List of Violating Facilities, and will notify Cal OES and the Federal Grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating if a facility to be used in the project is under consideration for listing by the EPA.
26. Will provide any information requested by DHS/FEMA/Cal OES to ensure compliance with applicable laws, including the following:
 - a. Institution of environmental quality control measures under the National Environmental Policy Act, National Historical Preservation Act, Archaeological and Historic Preservation Act, Endangered Species Act, and Executive Orders on Floodplains (11988), Wetlands (11990) and Environmental Justice (EO12898) and Environmental Quality (EO11514).
 - b. Notification of violating facilities pursuant to EO 11738.
 - c. Assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.).
 - d. Conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.).
 - e. Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523).
 - f. California Environmental Quality Act (CEQA). California Public Resources Code Sections 21080-21098. California Code of Regulations, Title 14, Chapter 3 Section 15000-15007.
 - g. Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

- h. Applicable provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.
27. Will comply with Standardized Emergency Management System (SEMS) requirements as stated in the California Emergency Services Act, Government Code, Chapter 7 of Division 1 of Title 2, Section 8607.1(e) and CCR Title 19, Sections 2445, 2446, 2447, and 2448.
 28. Agrees that all publications created or published with funding under this grant shall prominently contain the following statement: *“This document was prepared under a grant from FEMA’s Grant Programs Directorate, U.S. Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA’s Grant Programs Directorate or the U.S. Department of Homeland Security.”* The recipient also agrees that, when practicable, any equipment purchased with grant funding shall be prominently marked as follows: *“Purchased with funds provided by the U.S. Department of Homeland Security.”*
 295. Acknowledges that DHS/FEMA reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: a) the copyright in any work developed under an award or sub-award; and b) any rights of copyright to which a recipient or sub-recipient purchases ownership with Federal support.
 30. The recipient agrees to consult with DHS/FEMA/Cal OES regarding the allocation of any patent rights that arise from, or are purchased with, this funding and has requested through the State of California, Federal financial assistance to be used to perform eligible work approved in the submitted application for Federal assistance and after the receipt of Federal financial assistance, through the State of California, agrees to the following:
 - a. Promptly return to the State of California all the funds received which exceed the approved, actual expenditures as accepted by the Federal or State government.
 - b. In the event the approved amount of the grant is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California.
 - c. Property/equipment purchased under the HSGP reverts to Cal EMA if the grant funds are deobligated/disallowed and/or not promptly repaid.
 - d. HSGP funds used for the improvement of real property must be promptly repaid following deobligation/disallowment of costs or Cal EMA reserves the right to place a lien on the property for the amount owed.
 - e. Separately account for interest earned on grant funds, and will return all interest earned, in excess of \$100 per Federal Fiscal Year.
 31. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. Sections 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM’s Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
 32. 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.

33. Will comply, if applicable, with the Laboratory Animal Welfare Act of 1966 (P. L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
34. Will comply with the minimum wage and maximum hour provisions of the Federal Fair Labor Standards Act (29 U.S.C. 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.
35. Agrees that "Classified national security information," as defined in Executive Order (EO) 12958, as amended, means information that has been determined pursuant to EO 12958 or any predecessor order to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.. No funding under this award shall be used to support a contract, subaward, or other agreement for goods or services that will include access to classified national security information if the award recipient has not been approved for and has access to such information.
36. Agrees that where an award recipient has been approved for and has access to classified national security information, no funding under this award shall be used to support a contract, subaward, or other agreement for goods or services that will include access to classified national security information by the contractor, subawardee, or other entity without prior written approval from the DHS Office of Security, Industrial Security Program Branch (ISPB), or, an appropriate official within the Federal department or agency with whom the classified effort will be performed. Such contracts, subawards, or other agreements shall be processed and administered in accordance with the DHS "Standard Operating Procedures, Classified Contracting by States and Local Entities," dated July 7, 2008; EOs 12829, 12958, 12968, as amended; the National Industrial Security Program Operating Manual (NISPOM); and/or other applicable implementing directives or instructions. All security requirement documents are located at:
<http://www.dhs.gov/xopnbiz/grants/index.shtm>
37. Immediately upon determination by the award recipient that funding under this award will be used to support such a contract, subaward, or other agreement, and prior to execution of any actions to facilitate the acquisition of such a contract, subaward, or other agreement, the award recipient shall contact ISPB, or the applicable Federal department or agency, for approval and processing instructions.

DHS Office of Security ISPB contact information:
Telephone: 202-447-5346
Email: DD254AdministrativeSecurity@dhs.gov
Mail: Department of Homeland Security
Office of the Chief Security Officer
ATTN: ASD/Industrial Security Program Branch
Washington, D.C. 20528

38. Agrees with the requirements regarding Data Universal Numbering System (DUNS) Numbers, meaning if recipients are authorized to make subawards under this award, they must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive or make a subaward to any entity unless the entity has provided its DUNS number. For purposes of this award term, the following definitions will apply:

- a. "Data Universal Numbering System (DUNS)" number means the nine digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet, currently at <http://fedgov.dnb.com/webform>
 - b. "Entity", as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C, as a Governmental organization, which is a State, local government, or Indian Tribe; or a foreign public entity; or a domestic or foreign nonprofit organization; or a domestic or foreign for-profit organization; or a Federal agency, but only as a sub recipient under an award or subaward to a non-Federal entity.
 - c. "Subaward" means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient. It does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. 210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations") and may be provided through any legal agreement, including an agreement that you consider a contract.
 - d. "Subrecipient" means an entity that receives a subaward from you under this award; and is accountable to you for the use of the Federal funds provided by the subaward.
39. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Section 276a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Sections 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333), regarding labor standards for Federally-assisted construction sub-agreements.
40. Agrees that:
- a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement.
 - b. If any other funds than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or an employee of Congress, or employee of a Member of Congress in connection with the Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
 - c. The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers including subgrants, contracts under grants and cooperative agreements, and subcontract(s) and that all sub recipients shall certify and disclose accordingly.
 - d. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

41. Agrees that equipment acquired or obtained with grant funds:
 - a. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant, and deployed with personnel trained in the use of such equipment in a manner consistent with the California Law Enforcement Mutual Aid Plan or the California Fire Services and Rescue Mutual Aid Plan.
 - b. Is consistent with needs as identified in the State Homeland Security Strategy and will be deployed in conformance with that Strategy.
42. Agrees that funds awarded under this grant will be used to supplement existing funds for program activities, and will not supplant (replace) non-Federal funds.
43. Will comply with all applicable Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars A102 and A-133, E.O. 12372 and the current Administrative Requirements, Cost Principles, and Audit Requirements.
44. Will comply with all provisions of 2 CFR, including: Part 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110); Part 225 Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87); Part 220 Cost Principles for Educational Institutions (OMB Circular A-21); Part 230 Cost Principles for Non-Profit Organizations (OMB Circular A-122).
45. Will comply with Subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990.
46. Agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this agreement.
47. Will comply with the financial and administrative requirements set forth in the current edition of the DHS Financial Management Guide.
48. Agrees that all allocations and use of funds under this grant will be in accordance with the FY 2010 Homeland Security Grant Program Guidance and Application Kit, and the California Supplement to the FY 2010 Homeland Security Grant Program Guidance and Application Kit. All allocations and use of funds under this grant will be in accordance with the Allocations, and use of grant funding must support the goals and objectives included in the State and/or Urban Area Homeland Security Strategies as well as the investments identified in the Investment Justifications which were submitted as part of the California FY2010 Homeland Security Grant Program application. Further, use of FY10 funds is limited to those investments included in the California FY10 Investment Justifications submitted to DHS/FEMA/Cal OES and evaluated through the peer review process.
49. Will not make any award or permit any award (subgrant or contract) to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in

Federal assistance programs under Executive Order 12549 and 12689, "Debarment and Suspension". As required by Executive Order 12549, Debarment and Suspension, and implemented at 44 CFR Part 17, for prospective participants in primary covered transactions, the applicant certifies that it and its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency.
 - b. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
 - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and
 - d. where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.
50. Will comply with all applicable requirements of all other Federal and State laws, executive orders, regulations, program and administrative requirements, policies and any other requirements governing this program.
51. Will comply with the administrative requirements that apply to most DHS award recipients through a grant or cooperative agreement arise from two sources: - Office of Management and Budget (OMB) Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the "A-102 Common Rule"), found under FEMA regulations at Title 44, Code of Federal Regulations (CFR) Part 13, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." - OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, relocated to 2 CFR Part 215. The requirements for allowable costs/cost principles are contained in the A-102 Common Rule, OMB Circular A-110 (2 CFR § 215.27), DHS program legislation, Federal awarding agency regulations, and the terms and conditions of the award. The four costs principles circulars are as follows: - OMB Circular A-21, Cost Principles for Educational Institutions, relocated to 2 CFR Part 220. - OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments, relocated to 2 CFR Part 225. - OMB Circular A-122, Cost Principles for Non-Profit Organizations, relocated to 2 CFR Part 230. - OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.
52. Will acknowledge, agree, and require any subrecipients, contractors, successors, transferees, and assignees acknowledge and agree-to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.
- a. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS and/or Cal EMA.

- b. Recipients must give DHS/Cal EMA access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS/Cal EMA regulations and other applicable laws or program guidance.
 - c. Recipients must submit timely, complete, and accurate reports to the appropriate DHS/Cal EMA officials and maintain appropriate backup documentation to support the reports.
 - d. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
 - e. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS/Cal EMA awarding office and the DHS Office of Civil Rights and Civil Liberties.
 - f. In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office. The United States has the right to seek judicial enforcement of these obligations.
53. Agrees that none of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any Federal action concerning the award or renewal of any Federal contract, grant, loan, cooperative agreement. These lobbying prohibitions can be found at 31 U.S.C. § 1352.
54. Will comply with requirements to acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.
55. Will comply with requirements that publications or other exercise of copyright for any work first produced under Federal financial assistance awards hereto related unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations). For any scientific, technical, or other copyright work based on or containing data first produced under this award, including those works published in academic, technical or professional journals, symposia proceedings, or similar works, the recipient grants the Government a royalty-free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for Government purposes in all such copyrighted works. The recipient shall affix the applicable copyright notices of 17 U.S.C. § 401 or 402 and an acknowledgement of Government sponsorship (including award number) to any work first produced under an award.
56. Will obtain DHS's approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

57. Will comply with the requirements that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.
58. Will comply with the requirements of the Preference for U.S. Flag Air Carriers: Travel supported by U.S. Government funds requirement, which states preference for the use of U.S. flag air carriers (air carriers holding certificates under 49 U.S.C. § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. § 40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.
59. Will comply with the requirements of the Drug-Free Workplace Act of 1988 (41 U.S.C. § 701 et seq.), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. These regulations are codified at 2 CFR 3001.
60. Will comply with the requirements of the government-wide award term which implements Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104), located at 2 CFR Part 175. This is implemented in accordance with OMB Interim Final Guidance, Federal Register, Volume 72, No. 218, November 13, 2007. In accordance with Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a subrecipient engages in severe forms of trafficking in persons during the period of time that the award is in effect, procures a commercial sex act during the period of time that the award is in effect; or uses forced labor in the performance of the award or subawards under the award. Full text of the award term is provided at 2 CFR § 175.15.
61. Will comply with the requirements of Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
62. Will comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. § 3601 et seq.), as implemented by the Department of Housing and Urban Development at 24 CFR Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units-i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)-be designed and constructed with certain accessible features (see 24 CFR § 100.201).
63. Will comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, which prohibits recipients from discriminating on the basis of disability in the

operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12101-12213).

64. Will comply with the requirements of the Age Discrimination Act of 1975 (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.
65. Will comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 et seq.), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 44 CFR Part 19.
66. Will comply with the requirements of Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to your programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding LEP obligations, go to <http://www.lep.gov>.
67. Will comply with the requirements of 42 U.S.C. § 7401 et seq. and Executive Order 11738, which provides for the protection and enhancement of the quality of the nation's air resources to promote public health and welfare and for restoring and maintaining the chemical, physical, and biological integrity of the nation's waters is considered research for other purposes.
68. Will comply with the requirements of the Federal regulations at 45 CFR Part 46 and the requirements in DHS Management Directive 026-04, Protection of Human Subjects, prior to implementing any work with human subjects. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable State and local law and is not directly regulated by 45 CFR Part 46.
69. Will comply with the requirements of the National Environmental Policy Act (NEPA), as amended, 42 U.S.C. § 4331 et seq., which establishes national policy goals and procedures to protect and enhance the environment, including protection against natural disasters. To comply with NEPA for its grant-supported activities, DHS requires the environmental aspects of construction grants (and certain non-construction projects as specified by the Component and awarding office) to be reviewed and evaluated before final action on the application.
70. Will comply with the requirements of Section 1306(c) of the National Flood Insurance Act, as amended, which provides for benefit payments under the Standard Flood Insurance Policy for demolition or relocation of a structure insured under the Act that is located along the shore of a lake or other body of water and that is certified by an appropriate State or local land use authority to be subject to imminent collapse or subsidence as a

result of erosion or undermining caused by waves or currents of water exceeding anticipated cyclical levels. These regulations are codified at 44 CFR Part 63.

71. Will comply with the requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within one year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DHS support. Lists of flood-prone areas that are eligible for flood insurance are published in the Federal Register by FEMA.
72. Will comply with the requirements of Executive Order 11990, which provides that federally funded construction and improvements minimize the destruction, loss, or degradation of wetlands. The Executive Order provides that, in furtherance of Section 101(b)(3) of NEPA (42 U.S.C. § 4331(b)(3)), Federal agencies, to the extent permitted by law, must avoid undertaking or assisting with new construction located in wetlands unless the head of the agency finds that there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands that may result from such use. In making this finding, the head of the agency may take into account economic, environmental, and other pertinent factors. The public disclosure requirement described above also pertains to early public review of any plans or proposals for new construction in wetlands. This is codified at 44 CFR Part 9.
73. Will comply with the requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. §§ 175-175c. Among other things, it prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose. The act also establishes restrictions on access to specified materials. "Restricted persons," as defined by the act, may not possess, ship, transport, or receive any biological agent or toxin that is listed as a select agent.
74. Understands the reporting of subawards and executive compensation rules, including first tier subawards to Cal EMA.
 - a. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009,
 - b. Where and when to report: you must report on each obligating action described in the following paragraphs to Cal EMA. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2011, the obligation must be reported by no later than December 31, 2011.)
 - c. What to report: You must report the information about each obligating action that the submission instructions posted in Information Bulletin 350, to Cal EMA. To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>. Subgrantees must report subrecipient executive total compensation to Cal EMA by the end of the month following the month

during which you make the subaward. Exemptions include: If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report on subawards, and the total compensation of the five most highly compensated executives of any subrecipient.

- d. Reporting Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if
- i. the total Federal funding authorized to date under this award is \$25,000 or more;
 - ii. in the preceding fiscal year, you received 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
 - iv. Subrecipient Executives. Unless you are exempt as provided above, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if in the subrecipient's preceding fiscal year, the subrecipient received 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and the public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

75. Understands that failure to comply with any of the above assurances may result in suspension, termination, or reduction of grant funds.

The undersigned represents that he/she is authorized by the above named SUBRECIPIENT to enter into this agreement for and on behalf of the said SUBRECIPIENT.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____

Title: _____ Date: _____

F. MOU/LOA Appendix C - Request for Reimbursement

_____, 2013

UASI Management Team
711 Van Ness Avenue, Suite 420
San Francisco, CA 94102

Re: FY 13 UASI Grant Reimbursement Request

Pursuant to Section 3.10 of the Agreement Between the City and County of San Francisco and the Full Name of Subrecipient for the Distribution of FY 2013 UASI Regional Funds (the "Agreement"), dated DATE, between the FULL NAME OF SUBRECIPIENT JURISDICTION ("SUBRECIPIENT") and the City and County of San Francisco, SUBRECIPIENT hereby requests reimbursement as follows:

Total Amount of
Reimbursement
Requested in this
Request: \$ _____

Maximum Amount of
Funds Specified in
Section 3.2 of the
Agreement: \$ _____

Total of All Funds
Disbursed Prior to this
Request: \$ _____

SUBRECIPIENT certifies that:

- (a) The total amount of funds requested pursuant to this Funding Request will be used to reimburse SUBRECIPIENT for Authorized Expenditures, which expenditures are set forth on the attached Schedule 1, to which are attached true and correct copies of all required documentation of such expenditures.

- (b) After giving effect to the disbursement requested pursuant to this Reimbursement Request, the Funds disbursed as of the date of this disbursement will not exceed the maximum amount set forth in Section 3.2 of the Agreement, or the not to exceed amounts specified in Appendix A for specific projects and programs.

- (c) The representations, warranties and certifications made in the Agreement are true and correct in all material respects as if made on the date hereof, and SUBRECIPIENT is in compliance with all Grant Assurances in Appendix B;

- (d) No Event of Default has occurred and is continuing; and

- (e) The undersigned is an officer of SUBRECIPIENT authorized to execute this Reimbursement Request on behalf of SUBRECIPIENT.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____

Title: _____ Date: _____

SCHEDULE 1 TO REQUEST FOR REIMBURSEMENT

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

Project	Payee	Amount	Description
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The following are attached as part of this Schedule 1:

- (i) An invoice for each item of expenditure for which reimbursement is requested;
- (ii) The front and the back of canceled checks or other written evidence documenting the payment of each invoice;
- (iii) For expenditures which are wages or salaries, payroll registers containing a detailed breakdown of earnings and withholdings, together with both sides of canceled payroll checks evidencing payment thereof (unless payment has been made electronically).
- (iv) Copies of purchase orders and contracts, as applicable.
- (v) Copies of performance bond for applicable equipment purchases.

G. MOU/LOA Appendix A – Authorized Expenditures and Timelines

Authorized Expenditures and Timelines

ENTITY: **SUBRECIPIENT JURISDICTION**

Total allocation to be spent on the following solution areas:

<u>UASI Project Letter and Title</u>	<u>Solution Area</u>	<u>Program Description</u>	<u>Projected Milestone Dates (to be completed on or about)</u>	<u>Deliverable Dates</u>	<u>Amount</u>
<p>Project</p> <p>INSERT PROJECT LETTER AND TITLE HERE</p>	<p>Planning</p>	<p>INSERT DESCRIPTION OF PLANNING ACTIVITY HERE & WHETHER PERSONNEL OR CONTRACTOR WILL BE USED.</p> <p>IF PERSONNEL, ARE THEY FULL TIME OR PART TIME? IF FULL TIME, USE 1 FTE, IF PART TIME, USE A PERCENTAGE (I.E. .33 FTE).</p> <p>IF CONTRACTOR, JUST STATE THAT A CONTRACTOR WILL BE USED.</p> <p>PROVIDE A LIST OF DELIVERABLES (E.G., WRITING PLANS, CONDUCTING MEETINGS, PROVIDING REPORTS, ETC.) FOR THE PLANNING PROJECT.</p> <p>LEAVE THE LANGUAGE BELOW IN PLACE:</p> <ul style="list-style-type: none"> Personnel – Prior to any expenditures for personnel, 	<p>INSERT MILESTONE DATES HERE (I.E. RFP RELEASE DATE, CONTRACT AWARD DATE, ISSUANCE OF PO DATE, ETC)</p>	<p>INSERT FINAL DELIVERABLE DATE HERE</p>	<p>INSERT NOT TO EXCEED AMOUNT OF AWARD HERE</p>

		<p>SUBRECIPIENT must submit completed job descriptions to the UASI detailing the planning activities the personnel will complete and the deliverables to be produced. Prior to reimbursement, SUBRECIPIENT must submit the following: all functional time sheets, payroll documentation showing payment of salaries and benefits, or cancelled checks; work product or certification that work was completed including a statement of completed activities.</p> <ul style="list-style-type: none"> • Contracts – All contracts must be pre-approved by the UASI prior to execution. In addition, SUBRECIPIENT must satisfy the following guidelines: <ul style="list-style-type: none"> ○ Procurement of contractual services must follow local policies and procedures for competitive purchasing (provided they are not in conflict with Federal regulations which supersede them). If sole source approval is needed, SUBRECIPIENT must transmit a sole source request to the UASI for submission to the State. ○ The contract must have a clearly stated scope of work and deliverables, deadlines for completion of work, and a schedule of contract payments. ○ All services must be performed and paid within the grant performance period. • Travel - travel for planning activities must be pre-approved in accordance with the Bay Area UASI Travel Policy (adopted by the Approval Authority in September 2011) prior to scheduling. Invoices for all travel expenses must be submitted by no later than DATE. Invoices must include all backup documentation, including conference agendas, programs, brochures, lodging receipts, per diem calculations, airfare receipts/boarding passes, mileage calculations, other transportation receipts, and proof of payment. • Final deadline for submittal of final 			
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		claims is 01/03/15 .			
<p>Project</p> <p>INSERT PROJECT LETTER AND TITLE HERE</p>	Training	<p>PROVIDE DESCRIPTION OF TRAINING CLASSES HERE.</p> <p>LIST FEEDBACK NUMBERS OBTAINED FROM THE STATE.</p> <p>LEAVE THE LANGUAGE BELOW IN PLACE:</p> <ul style="list-style-type: none"> • An approved EHP memo, if applicable (i.e., field based). • Training course expenses may include backfill/overtime, travel, tuition, per diem or other grant eligible expenses. Grant eligible training expenses are published in the FY 2013 Homeland Security Grant Program Guidance. • When seeking reimbursement for grant eligible training expenses, SUBRECIPIENT must submit completed ledger page indicating course title, feedback number, sub category (e.g., OT, BF, Course Development). • Provide registration receipts and agendas. • Provide copies of sign in sheets (must have supervisor's signature). • Final deadline for submittal of claims is 01/03/15. 	<p>INSERT MILESTONE DATES HERE (I.E. RFP RELEASE DATE, CONTRACT AWARD DATE, ISSUANCE OF PO DATE, ETC)</p>	<p>INSERT FINAL DELIVERABLE DATE HERE</p>	<p>INSERT NOT TO EXCEED AMOUNT OF AWARD HERE</p>
<p>Project</p> <p>INSERT PROJECT LETTER AND TITLE HERE</p>	Exercise	<p>DESCRIBE EXERCISE ACTIVITIES HERE (I.E. TABLETOPS, FULL-SCALE, ETC.)</p> <p>LEAVE THE LANGUAGE BELOW IN PLACE:</p> <p>Reimbursement for exercise activities require:</p> <ul style="list-style-type: none"> • An approved EHP memo, if 	<p>INSERT MILESTONE DATES HERE (I.E. RFP RELEASE DATE, CONTRACT AWARD DATE, ISSUANCE OF PO DATE, ETC)</p>	<p>INSERT</p>	<p>INSERT NOT TO EXCEED AMOUNT OF AWARD HERE</p>

		<p>applicable (i.e., field based)</p> <ul style="list-style-type: none"> Exercise expenses may include backfill/overtime, travel, exercise planning, or other ancillary expenses needed to successfully complete the exercise. Eligible exercise expenses are published in the FY 2013 Homeland Security Grant Program Guidance. An After Action Report (AAR) must be completed within 90 calendar days of the exercise. SUBRECIPIENT must submit a copy of the AAR report and proof of transmittal to the web portal with the final request for reimbursement. Final deadline for submittal of claims is 01/03/15. 		<p>FINAL DELIVERABLE DATE HERE</p>	
<p>Project</p> <p>INSERT PROJECT LETTER AND TITLE HERE</p>	<p>Equipment</p>	<p>DESCRIBE EQUIPMENT PURCHASES HERE.</p> <p>INSERT CORRECT AEL NUMBERS HERE:</p> <p>(AEL # FROM RKB.US WEBSITE)</p> <p>LEAVE THE LANGUAGE BELOW IN PLACE:</p> <p>SUBRECIPIENT must inventory, type, organize and track all equipment purchased in order to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.</p> <p>Reimbursement for equipment purchases require:</p> <ul style="list-style-type: none"> An approved EHP memo, if applicable. A performance bond is required for any equipment item that exceeds 	<p>INSERT MILESTONE DATES HERE (I.E. RFP RELEASE DATE, CONTRACT AWARD DATE, ISSUANCE OF PO DATE, ETC)</p>	<p>INSERT FINAL DELIVERABLE DATE HERE</p>	<p>INSERT NOT TO EXCEED AMOUNT OF AWARD HERE</p>

		<p>\$250,000, or for any vehicle, aircraft, or watercraft. Failure to obtain a performance bond may result in disallowance of the equipment costs.</p> <ul style="list-style-type: none"> • As allowable under Federal guidelines, procurement of equipment must follow local policies and procedures for competitive purchasing (provided they are not in conflict with Federal regulations which supersede them). If sole source approval is needed, SUBRECIPIENT must transmit the request to the UASI for request to the State. • Prior to reimbursement, SUBRECIPIENT must submit all invoices, AEL numbers, and a list of all equipment ID numbers and the deployed locations. • Final deadline for submittal of claims is 1/3/2015. 			
		TOTAL ALLOCATION			NOT TO EXCEED:
		•			
		•			
		•			
		•			
		•			

- All requests for reimbursements must be submitted by DATE unless an earlier deadline is set in this Appendix.
- Authorized expenditures must fall into one of the following categories: Planning, Organization, Equipment, Training, or Exercises. Descriptions of authorized expenditures are in the following documents:
 - FY 2013 Homeland Security Grant Program, Guidance and Application Kit dated May, 2013: http://www.fema.gov/pdf/government/grant/2010/fy10_hsgp_kit.pdf
 - California Supplement to Federal Program Guidance and Application Kit: [http://www.calema.ca.gov/WebPage/oeswebsite.nsf/ClientOESFileLibrary/Homeland%20Security%20Files/\\$file/FY10HSGPSupplementGuidance.pdf](http://www.calema.ca.gov/WebPage/oeswebsite.nsf/ClientOESFileLibrary/Homeland%20Security%20Files/$file/FY10HSGPSupplementGuidance.pdf)
 - Authorized Equipment List: www.rkb.us
 - Office of Justice Programs Financial and Administrative Guide for Grants: <http://www.ojp.usdoj.gov/financialguide/>
 - Cal EMA Rules and Regulations, including the Recipient Handbook: <http://www.CalOES.ca.gov/GrantsMonitoring/Pages/Rules%20and%20Regulations.aspx>
- **Any equipment purchased under this Agreement must match the UASI 2010 Grant Application Workbook. Any modification to the inventory list in that Workbook must receive prior written approval from by the Bay Area UASI Program Manager.**
- **No Management and Administration expenses are allowed, unless expressly identified and authorized in this Appendix.**
- **Sustainability requirements may apply to some or all of the grant funded projects or programs authorized in this Appendix. See Agreement, 3.13, 3.14.**
- **All EHP documentation must be submitted and approved prior to any expenditure of funds requiring EHP submission.**

I. Monitoring Checklist



**City & County of San Francisco
Department of Emergency Management
Bay AREA UASI**



Monitoring Visit Checklist

Site Visit Information	
Jurisdiction:	
Grants for Review:	
Date of Visit:	
Visit Conducted By:	<hr/> <hr/>

Person(s) Interviewed or Contacted During the Visit		
Name	Title	Phone/Email

Introduction:

Purpose:

As a requirement of the Office of Management and Budget, Circular A-133, an on-site monitor visit is conducted by the City & County of San Francisco, Department of Emergency Management, Bay Area UASI, to ensure jurisdictions are in compliance with both State and Federal laws and regulations.

Program and Financial Monitoring efforts are conducted in order to:

Gauge and measure compliance of jurisdictions to grant rules and regulations in order to:

- Monitor activities to ensure that grant funds are used for authorized purposes in compliance with laws and regulations.
- Assess jurisdictions progress, project implementation and impact.
- Ensure provisions of Memorandum of Understandings (MOU) and performance goals are achieved.
- Assist and recommend areas of improvement and provide guidance to improve jurisdiction administrative efficiencies and programmatic effectiveness.

Section A. Administrative Review

Compliance:	Yes	No	Partial
1. Does the jurisdiction demonstrate a clear understanding of the dates stipulated on the MOU?			
2. Does the jurisdiction demonstrate zero concerns about the latest grant assurances required in the MOU?			
3. Does the jurisdiction have a fraud policy in place?			
Does the jurisdiction have the following documents in place:			
4. State and Federal grant guidance for each applicable grant year.			
5. Current State and Federal employment by-law poster and a "drug-free policies" statement posted at the work place.			
6. Written local Human Resources (HR) policies and procedures.			
7. Do these policies discuss work hours, compensation rates, including overtime, and benefits; vacation, sick or other leave allowances, hiring and promotional policies?			

Comments:
Recommendations:

Section B. Accounting & Financial Management Review (44 CFR, 13.20)			
Compliance:	Yes	No	Partial
1. Does the jurisdiction maintain a financial management system that accurately identifies the source and amount of funds awarded to them?			
2. Does the jurisdiction accounting system ensure that grant funds are not commingled with other funds or other grant funds?			
3. Does the jurisdiction have local accounting and internal control policies and procedures in place?			
4. Were expenditures reported and requested on a reimbursable basis?			
5. Does the jurisdiction ensure good and services are delivered and accepted prior to payment in full?			
6. Does the jurisdiction ensure separation of duties and signature authority when initiating and approving accounting transactions?			
7. Does the jurisdiction ensure that costs charged to grant funds were not also billed and/or reimbursed by other funding sources?			

8. Are expenditures supported by proper source documentation, including, but not limited to, purchase orders (PO), original invoices, packing slips, cancelled checks, accounting journal entries, and other pertinent records necessary to permit the tracing of grant funds?			
9. Does the jurisdiction have procedures in place to comply with OMB A-133 audit requirements by obtaining a Single Audit or financial statement audit? Are findings relating to the appropriate program promptly corrected?			
10. Does the jurisdiction have a system for tracking and reporting program funds received?			
11. Does the jurisdiction have any budget control to compare actual expenditures or outlays with budgeted amounts for each grant?			
12. Are there written policies and procedures governing the maintenance and retention of records?			
13. Are financial records maintained for at least three years after the close of the grant and after all pending matters are closed?			
14. Has the jurisdiction submitted all required reports on time?			
Comments:			
Recommendations:			

Section C. Contracts and Procurement Review (44 CFR, 13.36)

Compliance:	Yes	No	Partial
1. Does the jurisdiction have written policies and procedures in place for procurement and contractual transactions?			
2. Does the jurisdiction ensure competitive Requests For Proposals (RFP) for procurement are received from an adequate number of qualified sources and evaluated through a selection process based on price, responsibility of the entity, and whether it is most advantageous to the program?			
3. Does the jurisdiction ensure non-competitive proposals (also known as sole sources) follow State/Federal sole source requirements and obtain approval from CalOES through the UASI?			
4. Does the jurisdiction ensure and verify bidders are not debarred or suspended?			
5. Does the jurisdiction ensure that local preferences are not used when entering into any procurement transaction or contractual agreement?			
6. Does the jurisdiction ensure that the payment transaction file includes a PO, a contractual agreement, or reference to a contractual agreement?			
Comments:			
Recommendations:			

Section D. Planning and M&A Personnel Review

Compliance:	Yes	No	Partial
1. Does the jurisdiction maintain job descriptions on file for any personnel funded with grant funds?			
2. Are the job descriptions on file "project specific", instead of the county or local general job classification description?			
3. Does the jurisdiction ensure grant funded staff perform eligible duties and activities per State and Federal grant guidelines?			
4. Are there procedures/controls are in place to track overtime?			
5. Does the jurisdiction maintain and keep accurate records of functional time sheets for staff funded with grant funds?			
6. Does the jurisdiction document and maintain deliverables on file for each position, including e-mail activities, meeting agendas, reports written by the employee, etc.?			
Comments:			
Recommendations:			

Section E. Travel, Training and Exercise Review

Compliance:	Yes	No	Partial
1. Does the jurisdiction have written travel and training policies and procedures in place?			
2. Does the jurisdiction request for a training feedback number for each training class?			
3. Does the jurisdiction request Environmental and Historic Preservation (EHP) approval from CalOES through the UASI for applicable training and exercise activities?			
4. Does the jurisdiction prepare and submit an After Action Report (AAR) for exercise activities?			
5. Does the jurisdiction use the General Services Administration (GSA) rate for travel per diem?			
6. Does the jurisdiction ensure travel expenses for reimbursement include sufficient documentation of purpose of travel, meeting and conference agendas, schedules and conference notes and expenditure receipts?			
7. Are original receipts maintained with travel expenditures to reduce the possibility of claiming the same expense for reimbursement on more than one award or to 3 rd party sources?			
Comments:			
Recommendations:			

Section F. Equipment Acquisition and Inventory Review (44 CFR, 13.32)

Compliance:	Yes	No	Partial
1. Does the jurisdiction ensure that the acquisition of equipment was in accordance with the grant award MOU and within the grant guidelines?			
2. Does the jurisdiction ensure the purchased equipment is being used for the stated purpose in the MOU?			
3. Has the purchased equipment been deployed and is it in use?			
4. Does the jurisdiction maintain an inventory of equipment purchased with grant funds?			
5. Does the jurisdiction maintain appropriate internal equipment inventory records by description of the equipment item, condition, serial and identification number, deployed location and use, acquisition date, cost and disposition?			
6. Does the jurisdiction ensure that each equipment item purchased with grant fund has an AEL# obtained from the RKB website?			
7. Has an internal physical inventory been taken of equipment purchased with grant funds in the last two years?			
8. Does the jurisdiction maintain a management system that ensures adequate safeguards to prevent equipment purchased with grant funds from being lost, stolen and/or destroyed?			
Comments:			

Recommendations:

Section G. Grant Matching Fund Review (44 CFR, 13.24)
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Compliance:	Yes	No	Partial
1. Does the jurisdiction have a grant match contribution plan to support grant award activities?			
2. Are positions used as a Cash match county and/or local funds?			
3. Was the value of the in kind matching costs determined by actual cost, Fair Market Value (FMV), quotes/bids/estimates or the going rate in the area?	Actual	_____	
	FMV	_____	
	Quote	_____	
	Going Rate	_____	
4. Does the jurisdiction maintain match supporting documents such as payroll records, timesheets, invoices, contracts, receipts, quotes/bids/estimates and volunteer time records and statements?			

Comments:

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Recommendations:

Section H. EHP Requirement and Approval Review			
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Compliance:	Yes	No	Partial
1. Does the jurisdiction comply with receiving CalOES authorization on activity requiring EHP approval before proceeding with the purchase?			
2. Does the jurisdiction maintain a copy of the approved EHP request on file and attach it as supporting documentation when seeking reimbursement?			

Comments:

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Recommendations:

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Section J. Programmatic Review

Compliance:	Yes	No	Partial
1. Does the jurisdiction ensure that goals, objectives and program activities support the investment justification of the award?			
2. Is the jurisdiction satisfied with its progress toward achieving the goals and objectives of the program?			
3. Does the jurisdiction submit and maintain all required progress reports for the program?			
4. Does the jurisdiction have an information retrieval system that provides accurate data or concrete documentation that validates project performance of the program?			
5. Does the jurisdiction ensure that program milestones are set and performance deliverables are met within timelines stated in the MOU?			
Comments:			
Recommendations:			

Section K. Other

1. Any challenges the jurisdiction is experiencing?
2. Does the jurisdiction have any improvements or suggestions on the grant administration process?

Comments:

Recommendations:

VIII. APPENDICES

A. FY14 Project Proposal Guidance



Project Proposal Guidance for Fiscal Year 2014

(INTERIM)

September 12, 2013

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APPENDIX A - PROJECT PROPOSAL TEMPLATE

This UASI guidance remains interim until such time that the Federal DHS funding allocation and grant guidance is released. It does not include the updated rules governing allowable expenses under the UASI grant for FY 2014 such as personnel costs, etc. In addition, this guidance will be updated in October pending Approval Authority review of the FY14 priority capability objectives.

1. UASI Grant Program Overview

Since its inception in FY 2003, the intent of the UASI program has been to enhance regional terrorism preparedness in major metropolitan areas by developing integrated systems for terrorism prevention, protection, response, and recovery. The FY 2014 UASI program will likely provide financial assistance to address the unique regional, multi-discipline terrorism preparedness planning, organization, equipment, training, and exercise needs of high-threat, high-density urban areas.

Activities implemented with UASI funds must support terrorism preparedness. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards, including natural disasters and other major accidents. Any FY 2014 Bay Area UASI funded projects must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

2. 2014 Federal Budget

It is expected that Congress will pass the DHS FY 2014 budget by the end of calendar year 2013 and the Department of Homeland Security (DHS) will issue a Funding Opportunity Announcement (FOA) for the Homeland Security Grant Program early in 2014. Earlier passage of the DHS budget is possible and therefore the region must be prepared to initiate its selection of proposals under an earlier and shortened time frame. Details on addressing this contingency will be put forward by the Management Team.

3. Bay Area Homeland Security Strategy

Each year, the Bay Area Urban Area Security Initiative (UASI) conducts a region-wide risk validation analysis and capabilities assessment across the region's twelve counties and three major cities. The outcome of these efforts will result in priority capability objectives, which will be used to guide proposal selection for the FY14 process and will be available in October 2013.

Ultimately, the risk validation and capabilities assessment results in the updated Bay Area Homeland Security Strategy, which is required by the Department of Homeland Security (DHS). The Bay Area Homeland Security Strategy is a comprehensive, data driven document that outlines the Bay Area's risks, capabilities, vision, structure, and goals and objectives for homeland security. Having such a strategy ensures the Bay Area is in the best possible position to clearly track and articulate its risks and capability needs to local leaders, the State of California and DHS when seeking resources to reduce that risk and satisfy those capability needs.

4. Proposal Submission Process

Regional projects may be developed from and/or solicited by operational areas, special districts, or sub-regions within the twelve county Bay Area UASI. Bay Area UASI Management Team project managers, hub planners, Bay Area UASI work group members, and other regional stakeholders will work with the UASI counties/major cities to engage in outreach to solicit proposals.

Proposals are invited from government organizations within the UASI footprint, including all work group and hub participants. **All proposals must meet the following criteria:**

- Be submitted by the person who will be primarily responsible for project implementation
- Have the approval of the relevant department head
- Have a clear nexus to terrorism
- Enhance the region's priority capabilities
- Be regional insofar that the project directly benefits at least two operational areas

Note that community-based and nonprofit groups are welcome to submit proposals but must do so through a government sponsor/partner.

Proposals may only be submitted using an online form to the Management Team from October 15th – November 15th, 2013. All proposals must be **submitted by 5pm on Friday November 15th**, and late proposals will be considered ineligible. **Please note that all proposals – including those using core city and sustainment allocations – must be submitted by the November 15th deadline.**

Upon receipt of the proposals, the Management Team will share them with the appropriate Approval Authority members for review. This review will take place before proposals are distributed to the hubs for prioritization.

Many Bay Area UASI jurisdictions undergo an internal vetting process of their own to identify which proposals should be submitted for UASI funding. Please note that such processes are the responsibility of each jurisdiction. UASI jurisdictions that wish to undertake internal vetting processes should do so before the November 15th deadline.

The proposal template can be found in Appendix A of this guidance. Submitters are strongly encouraged to integrate Federal, State and local grant and general funds when developing FY 2014 projects, with an understanding that the rules governing the use of those funds may vary from funding source to funding source. Please see section 11 of this guidance for important information on allowable expenses for UASI federal funds.

5. Role of the Work Groups

The Bay Area encourages regional subject matter experts to discuss possible projects through the venue of the Bay Area UASI work groups.

Work group composition:

- Work group meetings are open to all who would like to participate within the twelve county Bay Area UASI.
- Bay Area UASI Approval Authority and Advisory Group members should attempt to ensure their jurisdiction is represented in all work groups for optimum inclusion in all UASI project discussions.
- Work group meetings are chaired by project managers representing the UASI Management Team.
- Each work group is assigned a goal or set of goals from the *Bay Area Homeland Security Strategy*. The work groups and their areas of responsibility concerning projects for FY 2014 are:

Goal #	Bay Area Homeland Security Strategy Goal	Work group Title
1	Regional planning and risk management	Risk Management/Information Analysis and Infrastructure Protection
2	Regional intelligence, information sharing and infrastructure protection	
3	Regional interoperable communications	Interoperable Communications
4	Chemical, Biologic, Radiological, Nuclear and Explosive (CBRNE)	Regional Training & Exercise and CBRNE
8	Regional training and exercise	
5	Regional public and medical health	
6	Regional emergency planning and citizen preparedness	Regional Catastrophic Planning Team and Whole Communities
7	Regional recovery	

Note that training and exercise proposals will be referred to the training and exercise program, as in prior years. However, exercise requests that exceed \$50,000 and that benefit the entire Bay Area region will be referred to the Advisory Group to consider as a regional project. Exercise requests above the \$50,000 threshold that do not benefit the entire Bay Area region will be referred to the General Manager to determine an appropriate review process.

“Informal” work group proposal discussions:

At their regularly scheduled meetings in September, work groups will meet to discuss gaps and capability needs of the region. Topics to discuss could include:

- What projects would enhance the region’s priority capabilities?
- Does the proposed project have a direct nexus to terrorism?
- Is the proposed project regional insofar that it directly benefits at least two operational areas? Could it benefit a larger area?
- Is the proposed project budget of a reasonable amount?
- Why is the proposed investment critical and important?

Bay Area UASI project managers who chair the work group discussions will take notes on this discussion and pass this information along to the hub decision-makers for their consideration in prioritizing project proposals (see next section). All project proposal originators are welcome to attend work group meetings in order to share proposal ideas and gather work group members’ input on regional gaps and capabilities to best inform project proposal development.

*****NOTE THAT THE UASI MANAGEMENT TEAM WILL NOT FORMALLY COORDINATE A DISCUSSION OF EACH PROPOSAL AT THE WORK GROUP LEVEL AS WAS CONDUCTED LAST YEAR.**

Participation of work group members in hub selection processes:

Work group participants and other subject matter experts may have an opportunity to participate in hub meetings, at the discretion of the hub voting members. Please see next section.

6. Role of the Hubs

In FY14 as in the past couple of years, the Bay Area is utilizing hub groups to prioritize proposed projects.

Hub composition:

- As in prior years, the hubs will be based on the geographical location of the agencies based on North, East, South and West Bay Areas.
- Each Approval Authority Member will be asked to assign three to five people to represent his or her operational area/core city at the hub project proposal prioritization meetings. These hub representatives are referred to as hub voting members. Approval Authority Members are urged to appoint representatives that reflect the diversity of the Bay Area Homeland Security Strategy goals.
- Hub meetings will be coordinated and facilitated by “hub coordinators,” who are hub planners and/or UASI Management Team members.

Preparations for hub project proposal prioritization meeting:

In advance of the hub meetings, the Management Team will provide hub participants with all submitted proposals for their hubs as well as discussion notes from the work groups. These read-ahead materials will also include a review by the UASI Management Team as to whether proposals meet the criteria laid on page 3 of this guidance. Hub planners will solicit any questions hub voting members may have for regional subject matter experts in advance of the meetings.

Project prioritization process:

Hubs will meet in January 2014 to decide on the final prioritized list of projects for recommendation to the Advisory Group. Each hub will develop a list of prioritized projects based on regional need and local capabilities. Hubs may also designate other criteria as mutually agreed (e.g., provide scalable solutions, leverage other funding sources, and benefit the most operational areas.) Ideally prioritization will be done by consensus, but voting may occur as needed.

The Management Team will provide hubs with a planning amount based on what was provided to the hub from last year’s (FY13) allocation (see Section 8 Allocation of Funding). The hubs’ prioritized lists of projects should include projects in order of importance to be funded by the forthcoming FY14 allocation. The hub voting members will prioritize projects proposals and funding amounts to match the planned hub funding allocation as “above the line” projects. Each hub should also carefully develop a list of “below the line” projects for if/when additional funds become available in the future. This should include short time frame projects.

Hub voting members may make modifications to proposals during the meeting with the agreement of the original project proposers as long as these modifications are consistent with the original goals and objectives of the project. Recognizing that the discussion of regional needs at the hub level may generate new ideas and opportunities for cooperation, hubs may also propose new projects in special circumstances and with the approval of the General Manager. Such projects must meet all of the funding criteria presented on page 3 above.

Participation at hub meetings:

The Bay Area UASI Management Team encourages “open” hub selection meetings, whereby proposers and subject matter experts such as work group participants are invited to listen and participate in the prioritization process. However, it will be at the discretion of the hub voting members to determine whether proposers and other subject matter experts such as work group participants are invited to their deliberation meetings, and the nature of subject matter expert participation at such meetings.

7. Role of the Advisory Group

The UASI Advisory Group plays two critical roles in the project proposal prioritization process – (1) prioritizing regional projects for Approval Authority approval, and (2) reviewing hub-selected projects for recommendation to the Approval Authority for approval.

Prioritize sustainment/regional projects:

The Advisory Group will review and prioritize proposals that are regional in nature, “off the top,” and/or sustainment projects for approval by the Approval Authority. Similar to the process conducted by hub voting members at the hub level, the Advisory Group will develop a list of prioritized projects based on regional need and local capabilities. Ideally prioritization will be done by consensus, but voting may occur as needed. The Management Team will provide the Advisory Group with a planning amount based on what was provided for regional/sustainment projects from last year’s (FY13) allocation. The prioritized list of projects should include projects in order of importance to be funded by the forthcoming FY14 allocation. This list should also develop “below the line” projects for if/when additional funds become available in the future. This should include short time frame projects.

The Advisory Group will meet in January 2014 to conduct this review. In advance of this meeting, the Management Team will provide Advisory Group participants with submitted regional/sustainment proposals as well as discussion notes from the work groups. These read-ahead materials will also include a review by the Management Team as to whether proposals meet the criteria laid on page 3 of this guidance. Management Team staff will solicit any questions Advisory Group members may have for regional subject matter experts in advance of the meeting.

The Management Team encourages “open” selection meetings, whereby proposers and subject matter experts are invited to listen and participate in the prioritization process. However, it will be at the discretion of the Advisory Group members to determine whether proposers and other subject matter experts are invited to their deliberation meeting and the nature of subject matter expert participation. The Management Team will be responsible for organizing the meeting given the direction provided to them by the Advisory Group members.

Review proposed projects prioritized by the hubs.

The other key responsibility of the Advisory Group is to provide a review of hub-selected projects to reduce duplication of effort and confirm prioritization of projects based on attainable mitigation of regional risk. This meeting will take place in February 2014, and the deliverable will be recommendations to the Approval Authority for the March Approval Authority meeting.

8. Allocation of Funding

In the next Approval Authority meeting following the announcement of the FY 2014 grant award, the Approval Authority will approve specific allocation amounts among the categories of core city allocations, regional/sustainment projects, and hub projects. Projects within those categories will then be funded in order of priority, as specified by hubs/Advisory Group, and as approved by the Approval Authority.

Until the FY 2014 grant award is announced, for planning purposes, the Bay Area will operate under the assumption that the FY 2014 funding will be approximately equal to the amount allocated in FY 2013 – \$27,252,169. For reference, below please find the FY13 hub and regional/sustainment allocations. These will be used in the FY14 cycle for planning purposes:

FY 13 UASI Allocations

East Hub	\$1,141,961
North Hub	\$366,787
South Hub	\$1,302,272
West Hub	\$2,262,108
Regional/Sustainment	\$11,175,308
Core City	\$3,000,000
Management Team	\$3,330,000
State Holdback	\$4,673,733
TOTAL	\$27,252,169

9. Priority Capability Objectives

*These priority capability objectives are based on the Bay Area Homeland Security Strategy and were applied to the FY13 UASI funding cycle. The updated objectives for FY14 cycle will be presented to the Approval Authority on October 10, 2013 for approval. The capability objectives from the FY13 cycle should be used as guidance until October when the updated objectives are available. **In order to be eligible for FY14 funding, all proposed projects must fulfill at least one of these priority capability objectives.***

Goal 1 Strengthen the Regional Risk Management and Planning Program
Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities
Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities
Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities
Objective 2.3 Increase Critical Infrastructure Protection
Goal 3 Strengthen Communications Capabilities
Objective 3.1 Enhance Operational Communications Capabilities
Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities
Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support
Objective 4.2 Strengthen Mass Search and Rescue Capabilities
Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations
Objective 4.6 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities
Objective 4.7 Strengthen Operational Coordination Capabilities
Objective 4.8 Improve Environmental Response/Health and Safety through Responder Safety and Health
Objective 4.9 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response
Goal 5 Enhance Medical and Public Health Preparedness
Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment
Objective 5.3 Strengthen Medical Countermeasure Dispensing
Objective 5.8 Enhance Fatality Management
Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities
Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities
Objective 6.2 Enhance Critical Transportation Capabilities
Objective 6.3 Improve Mass Care
Objective 6.4 Increase Community Resiliency
Goal 7 Enhance Recovery Capabilities
Objective 7.1 Strengthen Infrastructure Systems
Objective 7.2 Enable Economic Recovery

Detailed description of the priority capability objectives is as follows:

Goal 1 Strengthen the Regional Risk Management and Planning Program
Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities: The Bay Area is able to identify and assess the threats and hazards that pose the greatest risk to the whole community. The region can prioritize and select appropriate capability-based planning investments and solutions for prevention, protection, mitigation, response, and recovery concerning those risks; monitor the outcomes of allocation decisions; and undertake corrective and sustainment actions.
Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities
Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities: The Bay Area’s law enforcement community (federal, state and local) and other public safety agencies can conduct forensic analysis and attribute terrorist threats and acts to help ensure that suspects involved in terrorist and criminal activities related to homeland security are successfully identified, deterred, detected, disrupted, investigated, and apprehended.
Objective 2.3 Increase Critical Infrastructure Protection: The region can assess the risk to physical & cyber critical infrastructure and key resources from acts of terrorism, crime, and natural hazards and deploy a suite of actions to enhance protection and reduce the risk to the region’s critical infrastructure and key resources from all hazards. This includes a risk-assessment process and tools for identifying, assessing, cataloging, and prioritizing physical and cyber assets from across the region.
Goal 3 Strengthen Communications Capabilities
Objective 3.1 Enhance Operational Communications Capabilities: The emergency response community in the Bay Area has the ability to provide a continuous flow of mission critical voice, data and imagery/video information among multi-jurisdictional and multidisciplinary emergency responders, command posts, agencies, and Bay Area governmental officials for the duration of an emergency response operation. The Bay Area can also re-establish sufficient communications infrastructure within the affected areas of an incident, whatever the cause, to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery.
Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities
Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support: Fire service agencies across the Bay Area can dispatch initial fire suppression resources within jurisdictional response time objectives, and firefighting activities are conducted safely with fire hazards contained, controlled, extinguished, and investigated, with the incident managed in accordance with local and state response plans and procedures.
Objective 4.2 Strengthen Mass Search and Rescue Capabilities: Public safety personnel in the Bay Area are able to conduct search and rescue operations to locate and rescue persons in distress and initiate community-based search and rescue support-operations across a geographically dispersed area. The region is able to synchronize the deployment of local, regional, national, and international teams to support search and rescue efforts and transition to recovery.

Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations: Public safety bomb squads in the Bay Area are able to conduct threat assessments; render safe explosives and/or hazardous devices; and clear an area of explosive hazards in a safe, timely, and effective manner. This involves the following steps in priority order: ensure public safety; safeguard the officers on the scene (including the bomb technician); collect and preserve evidence; protect and preserve public and private property; and restore public services.

Objective 4.6 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities: Responders in the Bay Area are able to conduct health and safety hazard assessments and disseminate guidance and resources, including deploying HazMat response and decontamination teams, to support immediate environmental health and safety operations in the affected area(s) following a WMD or HazMat incident. Responders are also able to assess, monitor, clean up, and provide resources necessary to transition from immediate response to sustained response and short-term recovery.

Objective 4.7 Strengthen Operational Coordination Capabilities: The Bay Area has a fully integrated response system through a common framework of the Standardized Emergency Management System, Incident Command System and Unified Command including the use of emergency operations centers, incident command posts, emergency plans and standard operating procedures, incident action plans and the tracking of on-site resources in order to manage major incidents safely, effectively and efficiently. EOCs in the Bay Area can effectively plan, direct and coordinate information and activities internally within EOC functions, and externally with other multi-agency coordination entities, command posts and other agencies to effectively coordinate disaster response operations.

Objective 4.8 Improve Environmental Response/Health and Safety through Responder Safety and Health: The Bay Area can reduce the risk of illnesses or injury to first responder, first receiver, medical facility staff member, or other skilled support personnel as a result of preventable exposure to secondary trauma, chemical/radiological release, infectious disease, or physical/emotional stress after the initial incident or during decontamination and recovery.

Objective 4.9 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response: Public safety agencies within the Bay Area are able to keep the public and critical infrastructure safe by securing a particular incident scene and maintaining law and order following an incident or emergency to include managing the criminal justice prisoner population.

Goal 5 Enhance Medical and Public Health Preparedness

Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment: Emergency medical services (EMS) resources across the Bay Area can effectively and appropriately be dispatched (including with law enforcement tactical teams) to provide pre-hospital triage, treatment, transport, tracking of patients, and documentation of care appropriate for the incident, while maintaining the capabilities of the EMS system for continued operations up to and including for mass casualty incidents.

Objective 5.3 Strengthen Medical Countermeasure Dispensing: With the onset of an incident, the Bay Area is able to provide appropriate medical countermeasures (including vaccines, antiviral drugs, antibiotics, antitoxin, etc.) in support of treatment or prophylaxis (oral or vaccination) to the identified population in accordance with local, state and federal public health guidelines and/or recommendations.

Objective 5.8 Enhance Fatality Management: Bay Area agencies, e.g., law enforcement, public health, healthcare, emergency management, and medical examiner/coroner) are able to coordinate (to ensure the proper recovery, handling, identification, transportation, tracking, storage, and disposal of human remains and personal effects; certify cause of death; and facilitate access to mental/ behavioral health services to the family members, responders, and survivors of an incident.

Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities

Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities: The region has an interoperable and standards-based system of multiple emergency public information and warning systems that allows Bay Area leaders and public health and safety personnel to disseminate prompt, clear, specific, accurate, and actionable emergency public information and warnings to all affected members of the community in order to save lives and property concerning known threats or hazards.

Objective 6.2 Enhance Critical Transportation Capabilities: The Bay Area can provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people, including those with access and functional needs, and animals, and the delivery of vital response personnel, equipment, and services into the affected incident areas to save lives and to meet the needs of disaster survivors.

Objective 6.3 Improve Mass Care: Mass care services, including sheltering, feeding, and bulk distribution, are rapidly, effectively and efficiently provided for the impacted population, including those with access and functional needs, in a manner consistent with all applicable laws, regulations and guidelines.

Objective 6.4 Increase Community Resiliency: The Bay Area has a formal structure and process for ongoing collaboration between government and nongovernmental resources at all levels to prevent, protect/mitigate, prepare for, respond to and recover from all known threats and hazards.

Goal 7 Enhance Recovery Capabilities

Objective 7.1 Strengthen Infrastructure Systems: The Bay Area can provide accurate situation needs and damage assessments by utilizing the full range of engineering, building inspection, and code enforcement services in a way that maximizes the use of resources, aids emergency response, implements recovery operations, and restores the affected area to pre-incident conditions as quickly as possible. The Bay Area can coordinate activities between critical lifeline operations and government operations to include a process for getting the appropriate personnel and equipment to the disaster scene so that lifelines can be restored as quickly and as safely as possible to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery

Objective 7.2 Enable Economic Recovery: During and following an incident, the Bay Area can estimate economic impact, prioritize recovery activities, minimize business disruption, and provide individuals and families with appropriate levels and types of relief with minimal delay.

10. Summary Timeline

WHO	WHAT	WHEN	DETAILS
UASI Management Team	Outreach	September 2013	Management Team sends the FY14 implementation guidance to UASI stakeholders as well notice of the webinar kick off.
UASI Work Groups	Informal proposal discussions	September 2013	Work groups discuss projects ideas as well as regional gaps and priorities. Management Team staff will provide notes on proposal discussions to hub voting members.
UASI Management Team	Kick off webinar	October 3, 2013	Management Team hosts webinar for those interested to submit proposals; open to any UASI stakeholder. Staff will review project proposal template, grant requirements, and proposal selection criteria and process. The webinar will be recorded and will be available on the Bay Area UASI website for later viewing.
UASI Stakeholders	Proposal submissions	October 15 – November 15, 2013	Proposals must have a clear nexus to terrorism, enhance the region’s priority capabilities, and be regional insofar that there are direct benefits to at least two operational areas.
Approval Authority	Approval Authority electronic review	December 2 – 8, 2013	Management Team sends all proposals for each OA/core city to the relevant Approval Authority Member for review.
Hubs	Prioritize	January 2013	Hubs list projects in order of importance to be funded, including “above” and “below” the line, based on the estimated funding available.
Advisory Group	Prioritize regional projects	January 2013	The Advisory Group lists sustainment/regional projects in order of importance to be funded including “above” and “below” the line, based on the estimated funding available.
Advisory Group	Recommend	February 2013	The Advisory Group reviews hub-selected projects and makes recommendations to the Approval Authority.
Approval Authority	Approve	March 2014	Approve hub and regional project submissions.

11. Allowable Spending Guidelines

Please note that DHS has yet to issue guidelines for FY14. In the absence of this information, below please find the allowable spending information for FY13. The Management Team will update these guidelines when FY13 information becomes available.

The following is a summary of allowable spending areas under the UASI program as it pertains to the Bay Area UASI. If hubs have questions regarding allowable cost items they should contact the Bay Area UASI Management Team for clarification. The spending areas are broken out largely under the planning, organization, equipment, training and exercises (POETE) spending areas. This matches the Bay Area Strategy, which also divides recommended spending areas under POETE for each objective in the Strategy, as well as the DHS mandated budget sections for Investment Justifications that the Bay Area must submit in order to receive DHS funding. The spending areas below simply outline what is allowable. They are not a list of what hubs should or must purchase. Rather, the spending areas in this guidance must be viewed in the context of the Bay Area Homeland Security Strategy's goals and objectives. The spending areas serve as a guide for what hubs can purchase in their efforts to implement the Bay Area Strategy, which is the document that should drive hub expenditures. The following are definitions for the terms as used in this interim guidance:

Hiring – Hubs may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable DHS/FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-FEMA program activities under any circumstances. Hiring will always result in a net increase of Full Time Equivalent (FTE) employees.

Overtime – These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their performance of FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.

Backfill-related Overtime – Also called “Overtime as Backfill,” these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to FEMA-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of FTE employees.

Supplanting – Grant funds will be used to supplement existing funds, and shall not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

11.1 Planning

FY 2014 funds may be used for a range of emergency preparedness and management planning activities and that support Performance Objectives such as THIRA and Planning, by placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v.2 as well as development and maintenance of a THIRA. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes. Grantees must use the *CPG 101: Developing and Maintaining Emergency Operations Plans* in order to develop robust and effective plans. For additional information, please see

http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf.

Examples of planning activities include:

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, mitigation, response, and recovery activities
- Developing and implementing homeland security support programs and adopting
- DHS national initiatives including but not limited to the following:
 - Implementing the NPG and the Whole Community Approach to Security and Emergency Management
 - Pre-event recovery planning
 - Implementing the National Infrastructure Protection Plan (NIPP) and associated Sector Specific Plans
 - Enhancing and implementing Statewide Communication Interoperable Plan (SCIP) and Tactical Interoperable Communications Plans (TICP) that align with the goals, objectives, and initiatives of the *National Emergency Communications Plan* (NECP)
 - Costs associated with the adoption, implementation, and adherence to NIMS compliance requirements, including implementing the NIMS National Credentialing Framework
 - Modifying existing incident management and EOPs to ensure proper alignment with the National Response Framework (NRF) coordinating structures, processes, and protocols
 - Establishing or enhancing mutual aid agreements
 - Developing communications and interoperability protocols and solutions
 - Conducting local, regional, and tribal program implementation meetings
 - Developing or updating resource inventory assets in accordance to typed resource definitions issued by the NIC
 - Designing State and local geospatial data systems
 - Developing and conducting public education and outreach campaigns, including promoting individual, family, and organizational emergency preparedness; alerts and warnings education; promoting training, exercise, and volunteer opportunities; informing the public about emergency plans, evacuation routes, shelter locations; and evacuation plans as well as CBRNE prevention awareness
 - Designing programs to address targeting at-risk populations and engaging them in emergency management planning efforts

- Activities, materials, services, tools and equipment to achieve planning, protection, mitigation, response and recovery that is inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities)
- Preparing materials for State Preparedness Reports (SPRs)
- Developing related terrorism prevention activities including:
 - Developing THIRA that reflects a representative make up and composition of the jurisdiction
 - Developing initiatives that directly support local efforts to understand, recognize, prepare for, prevent, mitigate, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with civil rights/civil liberties protections
 - Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center
 - Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
 - Developing and planning for information/intelligence sharing groups
- Integrating and coordinating the fire service, emergency management, public health care, public safety, and health security data-gathering (threats to human and animal health) within fusion centers to achieve early warning, monitoring, and mitigation of threats:
 - Integrating and coordinating private sector participation with fusion center activities
 - Developing and implementing preventive radiological/nuclear detection activities
 - Acquiring systems allowing connectivity to State, local, tribal, territorial, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
 - Planning to enhance security during heightened alerts, terrorist incidents, and/or during mitigation and recovery
 - Multi-discipline preparation across first responder community, including EMS for response to catastrophic events and acts of terrorism
 - Accessible public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, and web postings coordinated through local Citizen Corps Councils or their equivalent
 - Volunteer programs and other activities to strengthen citizen participation
 - Conducting public education campaigns including promoting suspicious activity reporting and preparedness; individual, family, and organizational emergency preparedness; promoting the *Ready* campaign; and/or creating State, regional, or local emergency preparedness efforts that build upon the *Ready* campaign
 - Evaluating Critical Infrastructure Protection (CIP) security equipment and/or personnel requirements to protect and secure sites
 - CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
 - Multi-Jurisdiction Bombing Prevention Plans (MJBPP)
 - Underwater Terrorist Protection Plans
- Developing and enhancing plans and protocols, including but not limited to:
 - Community-based planning to advance “whole community” security and emergency management

- Incorporating government/non-governmental collaboration, citizen preparedness, and volunteer participation into State and local government homeland security strategies, policies, guidance, plans, and evaluations
- Developing, enhancing, maintaining a current EOP that conforms to the guidelines outlined in the CPG 101 v.2
- Developing or enhancing local, regional, or Statewide strategic or tactical interoperable emergency communications plans
- Activities associated with a conversion from wideband to narrowband voice channels to support interoperability
- Implementing SCIP and TICPs that align with the goals, objectives, and initiatives of the NECP
- Developing protocols or standard operating procedures for specialized teams to incorporate the use of equipment acquired through this grant program
- Developing terrorism prevention/protection plans
- Developing plans, procedures, and requirements for the management of infrastructure and resources related to HSGP and implementation of State or Urban Area Homeland Security Strategies
- Developing plans for mass evacuation and pre-positioning equipment
- Developing or enhancing plans for responding to mass casualty incidents caused by any hazards
- Developing or enhancing applicable procedures and operational guides to implement the response actions within the local plan including patient tracking that addresses identifying and tracking children, access and functional needs population, and the elderly and keeping families intact where possible
- Developing or enhancing border security plans
- Developing or enhancing cyber security and risk mitigation plans
- Developing or enhancing secondary health screening protocols at major points of entry (e.g., air, rail, port)
- Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans
- Developing public/private sector partnership emergency response, assessment, and resource sharing plans
- Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of survivors
- Developing or updating local or regional communications plans
- Developing plans to support and assist jurisdictions, such as port authorities and rail and mass transit agencies
- Developing or enhancing continuity of operations and continuity of government plans
- Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under the NRF
- Developing plans and response procedures for adjudicating, validating and responding to an alarm from a chemical or biological detector (response procedures should include emergency response procedures integrating local first responders)
- Developing or enhancing evacuation plans

- Developing mechanisms for utilizing the National Emergency Family Registry and Locator System (NEFRLS)
- Developing or enhancing plans to prepare for surge capacity of volunteers
- Developing or enhancing the State emergency medical services systems
- Developing or enhancing plans for donations and volunteer management and the engagement/integration of private sector/non-governmental entities in preparedness, mitigation, response, and recovery activities
- Developing or enhancing Bombing Prevention Plans
- Developing school preparedness plans
- Developing preparedness plans for child congregate care facilities, including group residential facilities, juvenile detention facilities, and public/private child care facilities
- Developing plans to educate youth on disaster preparedness
- Ensuring EOPs adequately address warnings, emergency public information, evacuation, sheltering, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and volunteer resource integration to support each Emergency Support Function, to include appropriate considerations for integrating activities, materials, services, tools and equipment to achieve planning inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities). Developing and implementing civil rights, civil liberties, and privacy policies, procedures, and protocols
- Designing and developing State, local, tribal, and territorial geospatial data systems
- Developing and implementing statewide electronic patient care reporting systems compliant with the National Emergency Medical Services
- Information System (NEMESIS)
 - Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities
- Developing or conducting assessments, including but not limited to:
 - Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
 - Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level
 - Developing border security operations plans in coordination with CBP
 - Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
 - Updating and refining threat matrices
 - Conducting cyber risk and vulnerability assessments
 - Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local, regional, and State resources
 - Conducting Bombing Prevention Capability Analysis
 - Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g., law enforcement, fire, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)

- Activities that directly support the identification of pre-designated temporary housing sites
- Activities that support the identification and development of alternate care sites
- Conducting community assessments, surveys, and research of vulnerabilities and resource needs to determine how to meet needs and build effective and tailored strategies for educating individuals conducting assessments of the extent to which compliance with the integration mandate of disability laws is being achieved
- Soft target security planning (e.g., public gatherings)
- Identifying resources for medical supplies necessary to support children during an emergency, including pharmaceuticals and pediatric-sized equipment on which first responders and medical providers are trained
- Ensuring subject matter experts, durable medical equipment, consumable medical supplies and other resources required to assist children and adults with disabilities to maintain health, safety and usual levels of independence in general population environments
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Establishing, expanding, and maintaining volunteer programs and volunteer recruitment efforts that support disaster preparedness and/or response
 - Citizen support for emergency responders is critical through year-round volunteer programs and as surge capacity in disaster response, including but not limited to: Citizen Corps Affiliate Programs and Organizations, Community Emergency Response Teams (CERT), Fire Corps, Medical Reserve Corps (MRC), Neighborhood Watch/USAonWatch, Volunteers in Police Service (VIPS), and jurisdiction specific volunteer efforts
- Establishing and sustaining Citizen Corps Councils or their equivalent
- Working with youth-serving organizations to develop and sustain a youth preparedness program

11.2 Organization

Organizational activities include:

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

- Proposed expenditures of funds to support organization activities within the project submission must use historical data or other analysis.
- Up to 50 percent (50%) of FY 2013 funding may be used for personnel costs.

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

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

As identified in the *Maturation and Enhancement of State and Major Urban Area Fusion Centers* priority, all fusion centers analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. These include subject-matter expertise, analytic methodologies, customer-service ethics, information handling and processing skills, critical thinking skills, computer literacy, and objectivity and intellectual honesty. A certificate of completion of such training must be on file with the SAA and must be made available to FEMA Program Analysts upon request. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion center's BCA.

Overtime costs. Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security and specifically requested by a Federal agency. Allowable costs are limited to overtime associated with federally requested participation in eligible fusion activities including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the *Maritime Transportation Security Act of 2002*), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. Grant funding can only be used in proportion to the Federal man-hour estimate, and only after funding for these activities from other Federal sources (i.e. FBI JTTF payments to State and local agencies) has been exhausted. Under no circumstances should DHS grant funding be used to pay for costs already supported by funding from another Federal source.

Operational overtime costs. In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism, operational overtime costs are allowable for increased security measures at critical infrastructure sites. FY 2013 UASI funds for organizational costs may be used to support select operational expenses associated with increased security measures at critical infrastructure sites in the following authorized categories:

The following organization activities in support of public-private partnerships are allowable expenses:

- Program management:
 - Salary for a dedicated liaison who acts as the primary point of contact, coordinates the public-private partnership and ensures proper implementation of the strategic plan
 - Facilities, including meeting space and work space for private sector liaisons. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
 - Supplies needed to support regular communications
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident
- Sustain partnership efforts to include:
 - Support for in-person meetings, events, and conferences that bring the public and private sectors together. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
 - Web-based and social media tactics (webinars, emails, newsletters, alerts, databases, online collaboration tools, website development and maintenance, etc)
 - Innovative approaches for reaching the Whole Community to include translated material for individuals who are blind and or have low vision capability and those with English as a second language and coalitions among citizens.
 - Leverage already existing structures and mechanisms, such as Citizen Corps, for sharing information and engaging members of the Whole Community to include: for-profit and not-for-profit entities, faith based and community organizations, youth-serving and youth advocates, those that support socio-economic and diverse cultures
- Structures and mechanisms for information sharing between the public and private sector:
 - Tools, software, programs, and other mechanisms that support two-way information sharing during normal and emergency operations
 - Means to receive input or feedback from the private sector, and encourage participation from civic leaders from all sectors
 - Regular and timely communications on subjects relating to all phases of emergency management, such as newsletters, emails, and alerts
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
 - Web-based and new media platforms that allow real-time information exchange
 - Asset mapping, such as participation in FEMA's Total Asset Visibility and LogViz initiatives
 - A seat(s) in the emergency operation center, or virtual EOC Operational Support:
 - Tools for identifying and tracking available paid and unpaid disaster response resources
 - Dedicated space and equipment for private sector representation within a State, county, or city emergency operation center
 - A dedicated business emergency operations center that works with the State, county or city EOC (not construction)
 - Tools for real time information sharing between the public and private sector

- Licensing, screening, or other requirements for access to real EOC or virtual EOC
- Backfill and overtime expenses for staffing fusion centers;
 - Hiring of contracted security for critical infrastructure sites;
 - Public safety overtime (as defined in this FOA);
 - Title 32 or State Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package (Note: Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package); and
 - Increased border security activities in coordination with CBP, as outlined in Information Bulletin 135.

The following organization activities in support of **public-private** partnerships are allowable expenses:

- Program management:
 - Salary for a dedicated liaison who acts as the primary point of contact, coordinates the public-private partnership and ensures proper implementation of the strategic plan
 - Facilities, including meeting space and work space for private sector liaisons. Sub-recipients are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
 - Supplies needed to support regular communications
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident
- Sustain partnership efforts to include:
 - Support for in-person meetings, events, and conferences that bring the public and private sectors together. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
 - Web-based and social media tactics (webinars, emails, newsletters, alerts, databases, online collaboration tools, website development and maintenance, etc)
 - Innovative approaches for reaching the Whole Community to include translated material for individuals who are blind and or have low vision capability and those with English as a second language and coalitions among citizens.
 - Leverage already existing structures and mechanisms, such as Citizen Corps, for sharing information and engaging members of the Whole Community to include: for-profit and not-for-profit entities, faith based and community organizations, youth-serving and youth advocates, those that support socio-economic and diverse cultures
- Structures and mechanisms for information sharing between the public and private sector:
 - Tools, software, programs, and other mechanisms that support two-way information sharing during normal and emergency operations
 - Means to receive input or feedback from the private sector, and encourage participation from civic leaders from all sectors

- Regular and timely communications on subjects relating to all phases of emergency management, such as newsletters, emails, and alerts
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
 - Web-based and new media platforms that allow real-time information exchange
 - Asset mapping, such as participation in FEMA's Total Asset Visibility and LogViz initiatives
 - A seat(s) in the emergency operation center, or virtual EOC Operational Support:
 - Tools for identifying and tracking available paid and unpaid disaster response resources
 - Dedicated space and equipment for private sector representation within a county or city emergency operation center
 - A dedicated business emergency operations center that works with the county or city EOC (not construction)
 - Tools for real time information sharing between the public and private sector
 - Licensing, screening, or other requirements for access to real EOC or virtual EOC

11.3 Equipment

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for FY 2013 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <https://www.rkb.us>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

FY 2013 HSGP funds used to support emergency communications activities should comply with the *FY 2013 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at <http://www.safecomprogram.gov>. Grant funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with State/city/local health department who administer Federal funds from the Department of Health and Human Services for this purpose. Procurement must have a sound threat based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response. Prior to procuring pharmaceuticals, grantees must have in place an inventory management plan to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Hubs are encouraged to enter into rotational procurement agreements with vendors and distributors. Purchases of pharmaceuticals must include a budget for the disposal of expired drugs within the period of performance of the FY 2013 HSGP. The cost of disposal cannot be carried over to another FEMA grant or grant period.

11.4 Training

The Regional Exercise and Training Program will be responsible for reviewing and approving all training requests. Allowable training-related costs under UASI include the establishment, support, conduct, and attendance of training specifically identified under the UASI grant program and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, DOT).

Allowable training activities include, but are not limited to:

- Overtime and backfill for public safety, emergency preparedness and response personnel attending FEMA-sponsored and approved training classes
- Overtime and backfill for public safety, emergency preparedness and response personnel attending FEMA-sponsored and approved training classes
- Overtime and backfill expenses for part-time and volunteer public safety and emergency response personnel participating in FEMA training
- Training workshops and conferences
- Full-time or part-time staff or contractors/consultants
- Travel
- Supplies
- Tuition for higher education
- Training conducted using UASI funds should seek to address a gap identified in the Strategy, or through the Bay area's several specific training plans, an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise.

11.5 Exercise

The Regional Exercise and Training Program will be responsible for reviewing and approving Exercise requests. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps should be identified in the Strategy, AAR/IP and/or addressed in the Bay Area training plans and cycle. Exercises must be managed and executed in accordance with the Bay Area's Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://hseep.dhs.gov>. The HSEEP Library provides sample exercise materials and templates. Allowable exercise activities include, but are not limited to:

- Design, develop, conduct, and evaluate an exercise
- Exercise planning workshop
- Full-time or part-time staff or contractors/consultants
- Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in FEMA exercises
- Implementation of HSEEP
- Travel
- Supplies

All exercises using UASI funding must be NIMS/SEMS compliant. More information is available online at the NIMS Integration Center, <http://www.fema.gov/emergency/nims/index.shtm>.

Maintenance and Sustainment

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted.

FY 2013 grant funds are intended to support projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to meet this objective, the policy set forth in GPD's Information Bulletin 336 (Maintenance and Sustainment) has been expanded to allow for the support of equipment that has previously been purchased with both Federal grant and non-Federal grant funding. Hubs need to ensure that eligible costs for maintenance and sustainment be an allowable expenditure under applicable grant programs and support one of the core capabilities in the five mission areas contained within the NPG and be deployable through EMAC, where applicable.

11.6 Law Enforcement Terrorism Prevention Allowable Costs

The following activities are eligible for use of LETPA focused funds:

- Maturation and enhancement of fusion centers, including information sharing and analysis, target hardening, threat recognition, and terrorist interdiction, and training/hiring of intelligence analysts;
- Implementation and maintenance of the Nationwide SAR Initiative (NSI), including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the "If You See Something, Say Something™" campaign to raise public awareness of indicators of terrorism and violent crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations;
- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremist radicalization; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States; and
- Increase physical security, via law enforcement personnel and other protective measures by implementing preventive and protective measures related to at-risk nonprofit organizations.

11.7 Critical Emergency Supplies

In furtherance of DHS's mission, critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under UASI. Prior to allocating grant funding for stockpiling purposes, Proposers must have FEMA's approval of a viable inventory

management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.

The inventory management plan and distribution strategy, to include sustainment costs, will be developed and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under UASI. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under UASI and monitor development and status of the State's inventory management plan and distribution strategy.

11.8 Construction and Renovation

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

Written approval must be provided by FEMA prior to the use of any HSGP funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, Proposers are highly encouraged to submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits and documents, and to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., completing the FCC's Section 106 review process for tower construction projects; coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects). FEMA is legally required to consider the potential impacts of all projects on environmental resources and historic properties. Proposers must comply with all applicable environmental planning and historic preservation (EHP) laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2013 HSGP grant funds. To avoid unnecessary delays in starting a project, proposers are encouraged to pay close attention to the reporting requirements for an EHP review. For more information on FEMA's EHP requirements, please refer to Information Bulletins 329 and 345 (<http://www.fema.gov/government/grant/bulletins/index.shtm>).

FY 2013 HSGP Proposers wishing to use funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 *et seq.*). Recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website: <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

11.9 Personnel

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2013 HSGP planning, training, exercise, and equipment activities. A personnel cost cap of up to 50 percent (50%) of total grant program funds may be used for personnel and personnel-related activities as directed by the *Personnel Reimbursement for*

Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act (Public Law 110-412).

In general, the use of grant funds to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. FY 2013 grant funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

Definitions for hiring, overtime, backfill-related overtime, and supplanting remain unchanged from FY 2011 HSGP.

11.10 Operational Packages

Proposers may elect to pursue operational package (OPack) funding, such as Canine Teams, Mobile Explosive Screening Teams, and Anti Terrorism Teams, for new capabilities as well as sustain existing OPacks. Proposers must commit to minimum training standards to be set by the Department for all federally funded security positions. Proposers must also ensure that the capabilities are able to be deployable, through EMAC, outside of their community to support regional and national efforts. When requesting OPacks-related projects, Proposers must demonstrate the need for developing a new capability at the expense of sustaining existing core capability.

Proposers are reminded that personnel-related activities associated with OPacks will be subject to the PRICE Act requirements in which up to 50 percent (50%) of FY 2013 funding may be used for personnel costs.

B. Bay Area UASI Travel Policy



BAY AREA UASI TRAVEL POLICY

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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 BUASI'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 BUASI 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 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 Cal OES and DHS can take up to 5 months. Sub-recipients should provide updated budget and itinerary information, as needed by Cal OES 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 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 timely, 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 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 January 1, 2013, the IRS standard mileage rate for business use of an automobile is 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

- (a) The car rental amount and estimate of other related expenses such as parking and fuel, and
- (b) 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.
 - (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"> • Unjustified car rental and/or upgrade from standard compact size vehicle. • Auto/flight/travel insurance. • Air travel ticket higher than coach/economy class. • Parking/moving violation tickets or other penalties for infractions of any law, repair of automobiles and towing charges. • Passport application fees. • Unjustified cancelled travel tickets and change/cancellation costs.
Lodging	<ul style="list-style-type: none"> • Unjustified lodging in excess of federal per diem rate. • Payment for accommodation with friends/relatives. • Unjustified lodging during training/meetings within the nine Bay Area counties. • Hotel movies. • Unjustified internet access.
Meals	<ul style="list-style-type: none"> • Reimbursement for meals unless travel is overnight and pre-approved as an exception by the Department Head or

	<p>provided for in employee MOU.</p> <ul style="list-style-type: none"> • Unjustified meal expenses in lieu of conference provided meals. • Alcoholic beverages.
Other Expenses	<ul style="list-style-type: none"> • Boarding cost of pets and children during business travel. • Excessive phone calls from hotels when traveling. • Personal laundry/dry cleaning for trips less than 7 days.

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 a personal vehicle, a city vehicle, or a 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 found 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 the 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.

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: 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. 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
- C. BAUASI Travel Expense Voucher

Bay Area UASI Travel & Expense Authorization

Travel Authorization Number:					
Employee Name:			Division:		
Date(s) of Travel (or event):					
Type of Event:		Meeting		Training	
Purpose of travel or attendance at event:					
Funding Source:			UASI		Year:
OHS Approval Date:			Approved by:		
Budget Reference:			Fund Group-Index:		
Code-Sub Object-Project Code:					
Flight Information					
Airline	Flight	Date	From	To	Cost
Total Flight Cost					\$0.00
Rental Car Information					
Company	Type	Reason	# of Days	Daily Rate	Cost
Total Rental Car Cost					
Hotel Information					
Hotel	City	# of Days	Rate	Tax (%)	Cost
					\$0.00
Conference Hotel					\$0.00
Total Hotel Cost					\$0.00
Other Information					
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					
Total Additional Costs					\$0.00
Total Cost of Travel/Event					\$0.00
Division Manager Approval:			Deputy Director Approval		
Name:	Date:		Date		
Signature			Signature		
Received by Grants :			Date		
Name:		Signature:			

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AGENDA ITEM # 9

APPENDIX B

UPDATED GRANTS
MANUAL WITH
TRACKED CHANGES



January-October 20122013

Bay Area Urban Areas
Security Initiative (UASI)

DRAFT

~~Grants and Project~~
~~Policies and~~
~~Procedures Manual~~

Forms

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I. INTRODUCTION

A. Scope and Purpose

This manual provides the standards, policies, and processes that govern grant and project management and administration for the Bay Area UASI. Its purpose is to provide clarity and transparency around Bay Area UASI grant and project management, ensure efficiency and compliance in implementation, and ultimately to maximize the impact of federal funds to enhance the safety of Bay Area residents. This manual includes:

- Roles and responsibilities of the various entities participating in grant and project management;
- The lifecycle for Bay Area UASI projects, from identification through planning, execution, close out, and evaluation;
- Compliance requirements;
- Procurement processes; and
- Financial administration; and
- Required templates and forms.

Forms

This manual is mandated by the Bay Area UASI Approval Authority ~~Bylaws~~ By-laws (July ~~August 2011~~–2013 Section 8.8) and was first provided in 2012. This updated version was presented to and approved by the Approval Authority on ~~August 18, 2011~~ October 10, 2013. In addition, the Department of Homeland Security requires documentation of grant management and administration in order to access funding from the Homeland Security Grant Program.

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The Bay Area UASI General Manager will review and update this manual ~~annually~~ on a regular basis to ensure compliance with federal and state grant guidelines and to incorporate policies and procedures approved by the Approval Authority ~~in the preceding year~~. The General Manager will present proposed changes to this manual to the Approval Authority for adoption.

B. Affected Parties

The standards, policies, and processes contained herein apply to all participants in the Bay Area UASI—the Approval Authority, Advisory Group, Management Team, Working Groups, Member Jurisdictions, Contractors, Affiliated Non-Employees, and other similar individuals.

C. Federal UASI Program Background

The Urban Areas Security Initiative (UASI) is administered at the federal level by the Department of Homeland Security through its Homeland Security Grant Program within the Federal Emergency Management Agency (FEMA). The Homeland Security Grant Program provides federal funding to help state and local agencies enhance their capabilities to prevent, deter, respond to, mitigate and recover from terrorist attacks, major disasters, and other emergencies. The Homeland Security Grant Program encompasses several interrelated federal grant programs, including UASI, that together fund a range of preparedness activities as well as management and administration costs.

Since its inception in 2003, the intent of the federal UASI program has been to enhance regional preparedness in major metropolitan areas in support of the National Preparedness Guidelines. The UASI grant program provides financial assistance to address the unique multi-discipline Planning, Organization, Equipment purchase, Training, and Exercise (POETE) needs of high-threat, high-density urban areas, and to assist these areas in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism. Activities implemented with UASI funds must support terrorism preparedness, response, and recovery in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

Urban areas must use UASI funds to employ a regional approach to overall preparedness and adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, response, and recovery activities within the region.

D. Bay Area UASI Background

The Bay Area UASI improves capacity to prevent, protect against, respond to, mitigate and recover from terrorist incidents or related catastrophic events by providing planning, 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 Benito, San Francisco, San Mateo, Santa Clara, Santa Cruz, Monterey, 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.

II. ROLES AND RESPONSIBILITIES

Governed by Memoranda of Understanding (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. Working Groups provide subject matter expertise and regional input and help identify projects, and management and administration is handled by the Bay Area UASI Management Team. Project Leads are responsible for all aspects of project planning and management, and sub-recipient jurisdictions are key project team members and implement local procurement processes to expend grant funds.

A selected Urban Area shall establish an Urban Area Working Group (UAWG), which must provide direct or indirect representation for all the jurisdictions and response disciplines (including law enforcement) that comprises the defined Urban Area; local MMRS leadership and Citizen Corps Council representatives; and officials responsible for the administration of CDC and ASPR cooperative agreements. The Bay Area UASI Urban Area Working Group is called the Approval Authority.

A. Approval Authority

Participants

The top tier of governance in the Bay Area UASI is the eleven-member Approval Authority (or "Authority") that includes representation from each of the three major cities of Oakland, San Francisco, and San Jose and each of the counties in which they are located (Alameda, San Francisco, and Santa Clara) in addition to as well as the counties of Contra Costa, Marin, Monterey, San Mateo, Santa Clara and Sonoma). The California Emergency Management Agency California Office of Emergency Services (Cal-EMACal OES) Deputy Director for Operations Assistant Secretary is a non-voting member.

Responsibilities

The Approval Authority provides policy direction and is responsible for final decisions regarding projects and funding grant investments. The role of the Approval Authority in grants and project management includes:

- **Regional Coordination and Strategy** – Coordinating a regional approach to prevention, protection, response, mitigation, and recovery to homeland security threats as well as approving the Bay Area Homeland Security Strategy.

- **Risk Management** – Adopting a regional risk management framework to administer the UASI Homeland Security Grant Program and related grants, consistent with grant guidelines and direction provided by the Department of Homeland Security and the California Emergency Management Agency California Office of Emergency Services (Cal-EMACal OES).
- **Grant Approval** – Approving UASI program and related grant applications and grant allocation methodologies, and the allocation and distribution of grant funds.
- **Management Team Budget** – Approving the annual budget for the Bay Area UASI Management Team, based on a July 1 – June 30 fiscal year.
- **Advisory and Working Groups** – Approving the establishment, purpose, and membership of any advisory bodies whose purpose is to advise the Approval Authority, as well as providing personnel with subject matter expertise to participate in such groups.
- **Participation in Implementation** – Participating in the implementation of regional initiatives that are consistent with the mission and decisions of the Approval Authority, including participation in the risk assessment process on an annual basis.

Meetings

Approval Authority meetings take place monthly. See the July-August 2013 2014 Approval Authority Bylaws By-laws and Memoranda of Understanding (MOU) for more information.

B. Advisory Group

Participants

The second tier of governance of the Bay Area UASI is the Advisory Group. Advisory Group includes representation from membership includes one representative each from the ten twelve Bay Area county operational areas, the three major cities, the Northern California Regional Intelligence Center (NCRIC)/Fusion Center, as well as the Coastal Regional Administrator for the California Emergency Management Agency California Office of Emergency Services (Cal-EMACal OES). The Advisory Group may have a both a Chair and a Vice-Chair that are selected from among the membership. The Advisory Group is facilitated by the Management Team, which participates in the group as a non-voting member to provide technical input. both a Chair and a Vice-Chair that are selected from among the membership.

County/city administrators identify Advisory Group members on an annual basis. Members should be senior staff with appropriate subject matter expertise and decision making authority

who can provide a regional strategic perspective. Advisory Group members must have adequate time availability to carry out their responsibilities and must identify an alternate to attend meetings and perform functions for them when they are not available.

Responsibilities

• The primary role of the Advisory Group is to review proposed projects as well as how these projects are identified and prioritized. At the request of the General Manager, the Advisory Group recommends projects for approval to the Approval Authority. The Advisory Group also provides oversight to the Training and Exercise Program as well as reviews key risk management documents, such as the Threat Hazard Identification Risk Assessment (THIRA) and priority capability objectives. supports the UASI Approval Authority in making decisions, gathering information, analyzing information, having dialogue, and making policy and programmatic recommendations. Consistent with grant program requirements, the Advisory Group reviews, analyzes, discusses, and makes recommendations to the Approval Authority on:

- The Bay Area Homeland Security Strategy;
- Project identification process, including the risk and capability assessment;
- UASI program and related grant applications; and
- Allocation and distribution of grant funds under the jurisdiction of the Approval Authority, including a recommended list of proposals and amounts of funding for each.

The Advisory Group provides recommendations to the Bay Area UASI Management Team for subject matter expert participants in the Working Groups, receives updates from Management Team and Working Group representatives on their work, contributes technical input to the risk assessment process, and provides input on sub-recipient jurisdiction selection. An Advisory Group member or a Management Team Member also serves as Chair for each Working Group.

Meetings

Advisory Group meetings take place monthly at least quarterly and/or on an as-needed basis in advance of Approval Authority meetings and are facilitated by an elected Chairperson of the Advisory Group. Advisory Group members or their alternates are required to be prepared for and attend all meetings. If a member or designated alternate misses more than two meetings, the Advisory Group must take a majority vote on whether or not to remove that member, and if the member is removed, the Bay Area UASI General Manager will request another representative from that jurisdiction.

C. Management Team

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Participants

The Bay Area UASI Management Team is comprised of a general manager, strategy and compliance director, assistant general manager, chief financial officer, as well as program/project, finance and grant, and administrative staff. The General Manager appoints members to the Management Team to implement the policies of the Approval Authority. The members of this Team are employees of or contractors with the member jurisdictions of the Approval Authority, are assigned to work full-time on the Management Team, and are paid salaries through grant funds.

The General Manager directs and manages the Management Team, including setting job duties and responsibilities and establishing performance goals and expectations. General office, staffing, and personnel policies and procedures for the Management Team staff will be documented in the Management Team Policies and Procedures Manual, documented in a manual issued in the spring of 2012.

Responsibilities

The Bay Area UASI Management Team is responsible for the administration and management of the 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 facilitates Approval Authority, Advisory Group, and other Work Group s, and other 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 and working groups, as well as appropriate Bay Area stakeholders, to obtain input and make recommendations to the Approval Authority on application for and allocation and distribution of grant funded projects and policy and programmatic objectives.
- **Coordination and Collaboration** – Coordinating and managing advisory and working groups and stakeholders to, including serving as the liaison between these groups to ensure regional coordination and collaboration.
- **Grants Administration** – Overseeing and executing all administrative tasks associated with application for and distribution of grant funds and programs, including maintaining records, negotiating deliverables and timelines for projects, and creating agreements

outlining contract amounts and terms. Administering federal grant awards to ensure compliance with federal laws, regulations, executive orders, Office of Management and Budget (OMB) circulars, departmental policy, award terms and conditions, and state and local requirements.

- **Project Management** – Providing regional coordination, monitoring, management, and oversight 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/or 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 prepare and modify preparing and modifying agreements between the Bay Area UASI and sub-recipients as well as monitoring sub-recipients to ensure compliance with grant requirements.

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D. Working Groups

Participants

Bay Area UASI Working Groups are comprised of regional stakeholders who are subject matter experts. The Bay Area UASI General Manager is empowered by the Approval Authority By-law to create discipline-specific and/or functionally-determined work groups to make assessments and recommendations that address risk reduction, sustain mission critical initiatives, and enhance capabilities on a regional basis.

Members of the Approval Authority are required requested to provide personnel with subject matter expertise to participate in Working Groups. The General Manager may also solicit subject matter experts to include representatives from member counties and cities. In addition, members of the Approval Authority and the Advisory Group are encouraged to identify participants with

relevant subject matter expertise from outside government, including non-governmental and community-based organizations, who can participate in Working Groups, consistent with FEMA's "whole community" approach.

Responsibilities

The primary objective of the Working Groups is to provide a venue for subject matter experts to assess regional needs and capabilities based on risk, as well as solicit, review and discuss, and make recommendations concerning homeland security regional grant projects to the Advisory Group. All Working Groups are project-focused and do not set policy. The role of the Working Groups also includes:

- **Risk Assessment** – Performing risk and capability assessments and reviewing regional strategy for risk and threat information.
- **Project Identification** – Developing proposals based on gap analyses and soliciting and gathering proposal information from each jurisdiction.
- **Proposal Review** – Reviewing and analyzing proposals and ensuring that they are aligned with state priorities and the National Preparedness Guidelines.
- **Proposal Scoring** – Developing criteria for the project proposal scoring process, ranking proposals based on these criteria, and providing this list to the Advisory Group.
- **Project Team Membership** – Providing recommendations on the assignment of sub-recipient jurisdictions.
- **Project Implementation Oversight** – Providing technical input and oversight during project implementation, applying.
- **Evaluation** – Documenting and applying lessons learned from project implementation, as well as providing input for portfolio evaluation and performance metrics.

Currently, there are four Working Groups in the following areas, which are consistent with the Bay Area Homeland Security Strategy goals:

- Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE)/Training and Exercises;
- Risk Management and
- Information Analysis and Infrastructure Protection; Sharing;
- Interoperable Communications; and
- Health, Medical, Citizen Preparedness, and Recovery; and
- Risk Management.

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Meetings

Working Groups meet at least monthly and are chaired by . Members must be prepared for and attend all meetings, and could be disqualified by the Bay Area UASI General Manager from future participation if two meetings are missed. The General Manager will request the Approval Authority and Advisory Group to identify new personnel for Working Group participation if previously identified individuals are unable to regularly attend meetings or are otherwise unable to meet the responsibilities of the group.

Working Group Leadership

For each Working Group, the Bay Area UASI General Manager requests a Management Team Member to be the Chair. A Co-Chair will be a person selected from within the group by the group.

The Bay Area UASI Management Team coordinates and manages the Working Groups. Each Working Group is supported by a program/project manager from the Bay Area UASI Management Team. The Program/Project Manager is a subject matter expert, participates in all meetings, ensures the Working Group has needed information on a timely basis to meet their responsibilities, maintains documents and records, and is responsible for contributing to regular reporting to the Advisory Group, General Manager and Approval Authority. In addition, the Program/Project Manager is required to work cooperatively, constructively, and efficiently with Working Group Co-Chairs and members to accomplish these tasks:

- Setting meeting times on a regular schedule;
- Ensuring that the Working Group has a core mission statement and identified projects;
- Setting relevant agendas and objectives;
- Maintaining documents and records;
- Providing technical assistance to ensure projects are consistent with local, state, and federal guidelines; and
- Identifying and inviting participation and input from non governmental and community based representatives that can provide subject matter expertise.

E. Project Lead

Participants

The Project Lead may be either a jurisdiction or a staff member of the Bay Area UASI Management Team, typically a program/project manager with relevant subject matter technical expertise.

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If a staff member, the ~~the~~ Bay Area UASI General Manager or designee will appoint a Project Lead based ~~Lead based~~ on subject matter and project management expertise as well as availability.

Responsibilities

The Project Lead is the single point of contact for a project; is responsible for all aspects of project planning, execution, and close out; and coordinates with the Grants Management Unit to fulfill all required financial management and procurement processes.

The Project Lead works closely with technical experts in participating jurisdictions who contribute substantially to all phases of project management. The Project Lead also works closely with sub-recipients and helps ensure and support timely procurement and compliance. The Project Lead must participate actively in the associated technical Working Group, which provides technical oversight to the project, and will often also play the role as liaison for that Working Group to the Bay Area UASI Management Team.

The Bay Area UASI General Manager or designee is responsible for providing oversight and quality assurance to the work of the Project Lead. The standards laid out in this manual on grants and project management will form the basis for performance coaching and feedback for the Project Lead.

Jurisdiction Project Lead (Executive Sponsor)

Pursuant to the Approval Authority Bylaws (July 2011 Section 8.5), the Bay Area UASI General Manager conducts any selection process required by grant guidelines to identify an "executive sponsor" for funded initiatives, unless otherwise designated in the award. The term "executive sponsor" refers to a sub-recipient jurisdiction that commits to implementing required procurement processes of a project and fulfilling all the requirements of a sub-grant award (see Sections IV and V of this manual on financial management and procurement). Criteria used by the General Manager when making this selection includes:

- Availability and willingness of the proposed jurisdiction to play this role.
- Relevant subject matter expertise of the proposed jurisdictional representatives.
- Jurisdiction's proven track record of timely procurement and effective financial management of initiatives of similar scope and scale in the recent past and according to the standards laid out in Sections IV and V of this manual on procurement and financial management.
- Active membership of the proposed jurisdiction representatives in the relevant technical Working Group. Input from the relevant Working Group and Advisory Group on the proposed selection.
- Jurisdiction submits a regional project to the work group for review and evaluation or volunteers to take the lead on a regional project, e.g., the Metrics Project, as the person responsible is a subject matter expert.

- Work Group recommends the regional project to the Advisory Group for approval.
- Advisory Group prioritizes and recommends the regional project to the Approval Authority for approval.
- Approval Authority approves the regional project for inclusion in the grant application for the next grant cycle.
- With the approval of the grant award from FEMA, the Management Team will include the regional project in an MOU agreement with the jurisdiction.

The General Manager identifies the proposed jurisdiction to the Approval Authority for approval. The Bay Area UASI General Manager may at any time recommend to the Approval Authority the revocation of the role of sub-recipient jurisdiction due to a lack of adherence to policies and procedures laid out in this manual. If there are no jurisdictions that meet the criteria above, the General Manager will make this determination and recommend that project funds and procurement be directly managed by the Bay Area UASI Management Team.

Jurisdiction as Project Lead (Executor Sponsor) — Request for Proposal

A jurisdiction may become a Project Lead (executor sponsor) if there is a regional project such as the Regional Training and Exercise Project, through a Request for Proposal (RFP) process, which includes the following:

- The Regional Training and Exercise Work Group develops the scope of services for the RFP, evaluates the proposals, and recommends a jurisdiction to be the project lead.
- The Management Team facilitates the procurement process (posts the RFP, solicits proposals, facilitates the evaluation process, conducts negotiations and contract development, and executes an MOU).
- The Regional Training and Exercise Work Group recommends the proposed project lead to the Advisory Group for approval.
- The Advisory Group recommends the proposed project lead to the Approval Authority for approval.
- The Approval Authority approves the project lead for the regional project and directs the Management Team to initiate contract development.

F.E. Sub-recipients/recipient Jurisdictions

Participants

Sub-recipients are jurisdictions that receive grant funds from the City and County of San Francisco in its capacity as the fiscal agent and sub-grantee to the State of California for federal UASI awards.

Responsibilities

Sub-recipient jurisdictions are responsible for adhering to the project management, procurement, and financial management policies and procedures outlined in this manual. Among other things, responsibilities include:

- Active participation as a project team lead member;
- Helping to draft, approving, and following MOUs / LOAs (Memoranda of Understanding); Letters of Agreement) — the Bay Area UASI will not disburse grant funds to a sub-recipient until and unless such an agreement is finalized;
- Ensuring financial management systems are in place;
- Requesting modifications when necessary through the use of the change request form;
- Requesting reimbursements in a timely manner;
- Comply with the Fiscal Agent's Grants Management Policies and Procedures;
- Conducting sub-recipient monitoring, if applicable;
- Complying with performance milestones and completing projects within the grant performance period;
- Submitting quarterly reports to the Bay Area UASI Management Team documenting project progress; and
- Participating in risk and capabilities assessments and Bay Area Homeland Security Strategy updates, and as well as attending work group meetings.

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G. Ethical and Conflicts of Interest Standards

Ethical Standards

All members of the Bay Area UASI are required at all times to carry out their roles and responsibilities according to the highest ethical, professional, and quality standards. This includes conduct which is professional and competent, is cooperative with partners and stakeholders, and avoids bringing the Bay Area UASI into disrepute or negatively reflecting upon it. 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.

In addition, all Bay Area UASI members and sub-recipients 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.

Conflicts of Interest

No member of the Bay Area UASI 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. Personnel and other officials connected with Bay Area UASI funded programs must adhere to the following federal standards for avoiding conflict 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 officials, employees, and sub-recipients must avoid any action that might result in, or create the appearance of:

- Using his or her official position for private gain;

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- 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. As detailed in Section III of this manual (see "Approval of Solicitations and Contracts" under "C. Planning"), participants in RFP screening and evaluation processes for Bay Area UASI projects will be required to sign and adhere to impartiality/confidentiality statements.

The Approval Authority's conflict of interest procedure is detailed in the Memorandum of Understanding (July 2011 Section 20):

If and when a Party identifies an actual or potential conflict of interest among one or more of the Parties, that Party shall send written notification to all Parties. The Party with the actual or potential conflict shall respond to the notice within three business days. The response shall indicate whether the Party agrees or disagrees that a conflict exists. If the Party agrees, that Party may take appropriate action to cure the conflict, if possible, and shall describe its corrective actions in its response. If a Party disagrees, or cannot cure an actual conflict, the Approval Authority shall meet on the conflict within not less than 30 calendar days of the initial notice, in an effort to resolve the conflict. The Approval Authority shall schedule a special meeting if necessary to meet this timeline.

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4.1.1 Summary Matrix – Grant and Project Roles and Responsibilities

Steps in Project Cycle	Approval Authority	Management Team	Sub-recipient
Risk and Capability Assessment	Inform	Coordinate and approve	Implement/Inform
Homeland Security Strategy	Approve	Coordinate and implement	Inform
Allocation and Policy Priorities/Proposal Guidance	Approve	Inform/Implement	Inform – Advisory Group
Proposals and Scoring	–	Coordinate and approve	Implement
Project Prioritizing	Approve	Coordinate	Implement – hubs and Advisory Group
Project Approval	Approve	Coordinate	–
Investment Justifications	–	Implement	–
Grant Applications	Approve	Coordinate and implement	–
Project Lead Assignment	–	Implement	–
Sub-recipient Assignment	Approve	Recommend	Inform
MOUs/LOA	–	Implement and approve	Inform
Project Plan	Approve (over \$250K)/notified	Approve	Inform
Solicitations and Contracts	Approve (over \$250K)/notified	Approve	Implement
Reporting	Notified	Implement	Notified/Inform - workgroups

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Timeline and Scope Change	Notified (over \$250K and six months)/over \$250K	Approve	Inform	Inform
Budget Change	Approve (over \$250K)/notified	Approve	Inform	Inform
Deliverable Quality	–	Approve	Inform	Inform
Administrative Close Out/Monitoring	–	Approve/Implement	–	Inform/Implement
Lessons Learned/Close Out	–	Approve	Inform	Inform/Implement
Portfolio Evaluation Metrics	Notified	Coordinate and implement	Inform	Inform

G. Ethical Standards

All members of the Bay Area UASI are required at all times to carry out their roles and responsibilities according to the highest ethical, professional, and quality standards. This includes conduct which is professional and competent, is cooperative with partners and stakeholders, and avoids bringing the Bay Area UASI into disrepute or negatively reflecting upon it. 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.

Hatch Act Compliance

All Bay Area UASI members and sub-recipients 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.

Conflicts of Interest

No member of the Bay Area UASI 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. Personnel and other officials connected with Bay Area UASI funded programs must adhere to the following federal standards for avoiding conflict 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 officials, employees, and sub-recipients 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. As detailed in Section III of this manual (see "Approval of Solicitations and Contracts" under "C. Planning"), participants in RFP screening and evaluation processes for Bay Area UASI projects will be required to sign and adhere to impartiality confidentiality statements.

The Approval Authority's conflict of interest procedure is detailed in the Memorandum of Understanding (August 2013 Section 19):

If and when a Party identifies an actual or potential conflict of interest among one or more of the Parties, that Party shall send written notification to all Parties. The Party with the actual or potential conflict shall respond to the notice within three business days. The response shall indicate whether the Party agrees or disagrees that a conflict exists. If the Party agrees, that Party may take appropriate action to cure the conflict, if possible, and shall describe its corrective actions in its response. If a Party disagrees, or cannot cure an actual conflict, the Approval Authority shall meet on the conflict within not less than 30 calendar days of the initial notice, in an effort to resolve the conflict. The Approval Authority shall schedule a special meeting if necessary to meet this timeline.

Fraud

The fight against fraud is strongly endorsed and supported by the Bay Area UASI Approval Authority. All employees of local jurisdictions comprising the Bay Area UASI 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

Members should immediately report any suspicion of fraud directly to the appropriate authorities within their home jurisdiction, the Bay Area UASI Management Team Chief Financial Officer, and/or the FEMA Office of the Inspector General hotline (see FEMA website).

The Bay Area UASI Chief Financial Officer shall be responsible for investigating fraud in conjunction with local jurisdictions, Cal OES, 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.

Given the City and County of San Francisco's role as the fiscal agent for the Bay Area UASI, the City and County of San Francisco Whistleblower Program is also available to the Bay Area UASI Management Team as a resource for reporting suspected fraud. Functioning as a division of the San Francisco Department of Emergency Management, this program is a resource available to City and County of San Francisco employees, contractors or vendors, and City residents who want to come forward with information about acts of waste, fraud or abuse. It can be accessed via www.sfgov.org/whistleblower.

III. PROJECT CYCLE

The term "project cycle" includes the standard phases of the project management lifecycle which are: identification, planning, execution, and closure. The Project Management Unit of the Bay Area UASI Management Team is responsible for providing regional coordination, monitoring, management, and oversight of grant-funded projects. Stakeholders identify projects are identified through a risk assessment and scoring prioritization process, executed primarily by the technical working groups facilitated by the Management Team. The Management Team Project Lead is responsible for all aspects of the project planning phase, with significant support from project team members and the Bay Area UASI Management Team Project Manager, partner jurisdictions and subject matter experts. In execution, the Project Project Team carries out the project as defined in documented plans and agreements. Finally, in close out, lessons learned are documented and evaluation data is gathered.

A. Definition of Terms

Project – A project is a temporary endeavor undertaken to create a unique product, service or result. It has a defined beginning and end and is usually constrained by time and funding. In the Bay Area UASI context, projects are funded by sub-grant awards approved by the Approval Authority and made to participating UASI jurisdictions. Projects vary considerably in size and complexity, ranging in amounts from hundreds-tens of thousands to millions of dollars, and can include multiple sub-recipient jurisdictions. Each project has a high threat, high density urban area terrorism focus, is regional in nature, and is associated with an investment justification that is approved at the state and federal level.

Project Management – Project management is the discipline of planning, organizing, securing, and managing resources to achieve the specific goals of a project. In the Bay Area UASI context, the Bay Area UASI Management Team (Project Management Unit) is responsible for project management under the direction of the Approval Authority. Sub-recipient Project Leads leads are responsible for specific project funds allocated to them and for coordinating all aspects of project management, working closely with technical experts from and partner jurisdictions as appropriate.

Grants Management – Grants management is the management and administration of grants. In the Bay Area UASI context, this refers to grants from the federal governments which are then awarded to sub-recipients. Because projects are funded by sub-grant awards, the terms "grants management" and "project management" can often be used interchangeably. Typically, however, the term grants management is used to refer to the compliance, procurement, and financial management elements of federal sub-award funding. The Grants Management Unit of the Management Team has responsibility for Bay Area UASI grants management.

Project Cycle – The term “project cycle” includes the standard phases of the project management lifecycle which are identification (sometimes called initiation), planning, execution (sometimes called implementation), and closure.

Project Identification – Project identification is the process by which project scope, goals, budget, timeline, and deliverables are defined at a high level, vetted, and confirmed to go forward by the appropriate authorities. In the Bay Area UASI context, projects are identified through a risk assessment and scoring vetting process executed primarily by the technical Working Groups/stakeholders with support from the Management Team. Projects are then vetted and approved/reviewed by the Advisory Group and approved by the Approval Authority. T, respectively, and the UASI project identification process culminates in the Homeland Security Grant Program application.

Risk and Capability Assessment – A risk and capability assessment process begins with an understanding of threats, their consequences, and vulnerabilities, and assigning a value to them. This is then paired with an assessment of regional capabilities, such as readiness to accomplish a mission, function, or objective, under specified conditions, to target levels of performance. Once an understanding of risk is paired with that of capability, gaps can be identified, thus informing priorities, developing or comparing courses of action, and informing decision making. In the Bay Area UASI context, the risk and capability assessment is a critical step in the project identification phase and articulates the link between critical local needs and national priorities.

Project Planning – In the project planning phase, the Management Team/sub-recipient/Project Lead, working closely with a team of technical experts from participating jurisdictions as appropriate, defines the work tasks that are required to accomplish project deliverables and goals, and executes/supports required procurement processes. Depending on the complexity of the project, pProject planning refines understanding and estimates of timeline, budget, schedule, roles and responsibilities for the pProject Team/team and stakeholders, as well as project communication needs. Key documents of the planning stage in the Bay Area UASI context are the project plan, MOU/LOA Appendix A, RFP/Q solicitations, and vendor contracts. A project plan is a recommended document for complex project with multiple stakeholders.

Project Execution – In the project execution phase, the Project Lead carries out the project as defined in the plan/project documentation, supported by team members as applicable. The Lead also reports on the current status of the project, identifying and analyzing any variances between plan and actual. As necessary, the Project Lead takes corrective action to update time, scope, and budget. In the Bay Area UASI context, the oversight of project execution is carried out by the Management Team and, at a technical level, through the associated Working Group.

Project Change Management – Project change management is the practice of controlling and documenting changes to the baseline project plan/documentation. Managing the project during the execution phase means monitoring actual against planned (baseline) progress and making the necessary course changes in schedule, scope, and/or budget to meet user and stakeholder expectations. In the Bay Area UASI context, the Project Lead/the sub-recipient project lead makes change management requests to the Bay Area UASI Project Manager using the Project Change Request Form. Change requests are granted based on consistent criteria and processes General Manager or designee for approval. The General Manager then informs/seeks approval

from the Approval Authority, with higher dollar value projects having more specific reporting and approval requirements documented in this Manual.

Project Close Out – In the project closure phase, the Project Lead carries out administrative and contractual procedures to end the project, working with the Grants Management Unit/Management Team as necessary. This also includes defining lessons learned, which are key to improving similar projects in the future, as well as project and portfolio evaluation.

B. Identification

Responsibilities

The Bay Area UASI Management Team guides the project identification process is guided by the Bay Area UASI Management Team with input from the subject matter technical experts in the Working Groups. The process starts with asset updates to refine our regional understanding of risk, which is combined with complex risk and capabilities assessments that results in a gap analysis. This analysis feeds into the update of the Bay Area Homeland Security Strategy and allocation and policy priorities put forth by the Advisory Group. Working Groups/Regional stakeholders then identify projects to meet gaps and priorities and score vet proposals, which are vetted/reviewed by the Advisory Group and ultimately approved by the Approval Authority. The process culminates in the Management Team completing the Homeland Security Grant Program application for approval by the Approval Authority.

In the process detailed below, approximate dates are provided for each step. However, note that these dates may vary are highly variable based on changes in federal/state grant allocations and program schedules. The dates below reflect the FY14 grant cycle timeline. Note that for the FY15 grant cycle and subsequent years, we anticipate that the process will kick off in March rather than June as specified below. In addition, the timeline provided below is not accurate for fiscal year 2012 but represents our best estimate for the future process. Working with the Risk Management Working Group/relevant regional stakeholders, each year the Bay Area UASI Management Team will develop a project identification timeline and risk management cycle timeline for presentation to the Advisory Group and Approval Authority.

Risk and Capability Assessment

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WHAT?	Assessment of assets and capability in order to produce a risk-based gap analysis
WHEN?	Annually- Kicks off in May/June and extends through August- <ul style="list-style-type: none"> • Conduct Risk Assessment – May 1st – June 15th • Assess Regional Capabilities – June 15th – July 30th • Conduct Gap Analysis – August 1st – August 31st
WHO?	Risk Management and Information Sharing Working Group.

The Approval Authority ~~By-laws~~ (July-August 2011-2013 Section 8.1) specify that the Approval Authority must use a risk and capability-based methodology to apply for and allocate grant funds. This is consistent with guidance from the Department of Homeland Security, that all levels of government establish a foundation to justify and guide preparedness activities and investments. In addition, as of 2011, the Department of Homeland Security requires all grantees to develop and maintain a Threat Hazard Identification and Risk Assessment (THIRA). The Bay Area UASI Management Team initiated such a regional collaborative planning, risk validation analysis, and capabilities assessment in 2010.

Using the Digital Sandbox software system, ~~t~~The risk and capability assessment process collects information and assigns a value to risks for the purpose of setting priorities, developing or comparing courses of action, and informing decision making. The determination of risk includes identification and characterization of threats, their consequences, and our vulnerabilities. Such an understanding of risk is paired with an assessment of regional capabilities. This includes assessing preparedness and levels of readiness to perform critical tasks to accomplish a mission, function, or objective, under specified conditions, to target levels of performance. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the desired outcome. Once an understanding of risk is paired with that of capability, gaps can be identified, and thus we can best understand how to establish priorities and make resources decisions to address the region's most critical needs.

To be eligible for funding, jurisdictions within the Bay Area UASI must participate in the risk and capability assessment process on an annual basis. ~~The Starting in June, the~~ risk assessment process lasts about ~~four~~ three months ~~starting in May/June~~ and includes the following steps, ~~3~~ conducted by the subject matter experts of the Working Groups and guided by the Bay Area UASI Management Team:

1. **Kick Off** – The Management Team, in conjunction with Digital Sandbox and the Northern California Regional Intelligence Center (NCRIC), develops data collection timelines, requirements, and avenues for receiving information on threats, vulnerabilities, and consequences of loss. The Management Team organizes a kick off meeting to provide an overview of the process, risk analysis tool (Digital Sandbox Risk Analysis Center (RAC) tool box), and Protected Critical Infrastructure Information (PCII)

requirements to Working Group participants/stakeholders. The Management Team provides follow up training as needed.

2. **Risk Data Collection and Validation** – Working Group Stakeholders – members gather, validate, and verify asset data in Digital Sandbox and an understanding of threat, vulnerabilities, and consequences for the region. The Northern California Regional Intelligence Center (NCRIC) conducts final review and validation, as well as provides information on threat, vulnerabilities, and consequences for the region, and then Digital Sandbox (risk management contractor) analyzes the asset data to prioritize target capability relevance.
3. **Capability Assessment and Gap Analysis** – The Management Team leads a process whereby stakeholders assess local and regional capabilities using the Department of Homeland Security's core capability list. This process typically cumulates in a one day regional workshop of subject matter experts. This information is added to the risk information in Digital Sandbox and y assessment is mapped to risk to produce a risk-based gap analysis. This includes reviewing the risk analysis and capability information and scheduling workshops, meetings, and webinars to engage Working Group technical subject matter experts and jurisdictional representatives to assist in the assessment process. The Management Team determines whether prior year investments have sustained, reduced, or enhanced capabilities. It also reports on progress and gains technical input from members of the Advisory Group.

Participants in the Bay Area UASI then use ~~t~~The risk and gap capability assessment analysis ensures that the Bay Area UASI directs its investments to the areas where the risks are greatest and the capabilities the weakest, and ensures that critical capabilities are sustained, as a guide to determine strategic investments that mitigate risks, build capabilities, and address deficiencies. The information is ~~The assessment is fundamental to the subsequent completion of the~~ the incorporated in subsequent stages of the project identification process, such as in the development of the Bay Area Homeland Security Strategy and THIRA, and serves to inform the annual allocation and policy priorities identified by the Advisory Group, planning meetings to identify project proposals, and the development of the UASI grant application approved by the Approval Authority.

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Bay Area Homeland Security Strategy

WHAT?	Comprehensive data driven document that outlines the Bay Area UASI's risks, capabilities, vision, structure, goals and objectives for homeland security
WHEN?	Required at least Updated every two years, informed by the results of the risk assessment (September 1 st – October 31 st) to be completed as soon as possible after the risk and capability assessment and before project proposals are developed
WHO?	Working Groups provide input, Management Team implements, Approval Authority approves

Informed by the risk and capability assessment, the Bay Area Homeland Security Strategy is a comprehensive data driven document that outlines the Bay Area UASI's risks, capabilities, vision, structure, goals and objectives for homeland security. The goals and objectives are structured around closing identified risk and capability gaps. The associated implementation plan serves as a strategic guide for the region and jurisdictions to develop regional projects that will result in achievement of a particular objective.

The Strategy outlines a comprehensive system for enhancing regional capability that will guide the Bay Area UASI's efforts to:

- Prevent and disrupt terrorist attacks;
- Protect the people of the Bay Area, its critical infrastructure, and key resources;
- Respond to, and recover from, major incidents and all hazards that do occur;
- Continue to strengthen our preparedness foundation to ensure our long-term success; and
- Guide future investments, increase capabilities, and reduce risk.

Having such a strategy allows the Bay Area to clearly track and articulate its risks and capability needs to local leaders, the State of California, and Department of Homeland Security. Homeland security strategies are the basis for requesting funds from the Homeland Security Grant Program, of which UASI funding is a part. As required, the Strategy addresses all FEMA mission areas—prepare for, protect against, respond to, recover from, and mitigate all hazards.

The Bay Area's homeland security goals are directly aligned with National Homeland Security Priorities (and/or the State of California Homeland Security Strategy Priorities) and are as follows:

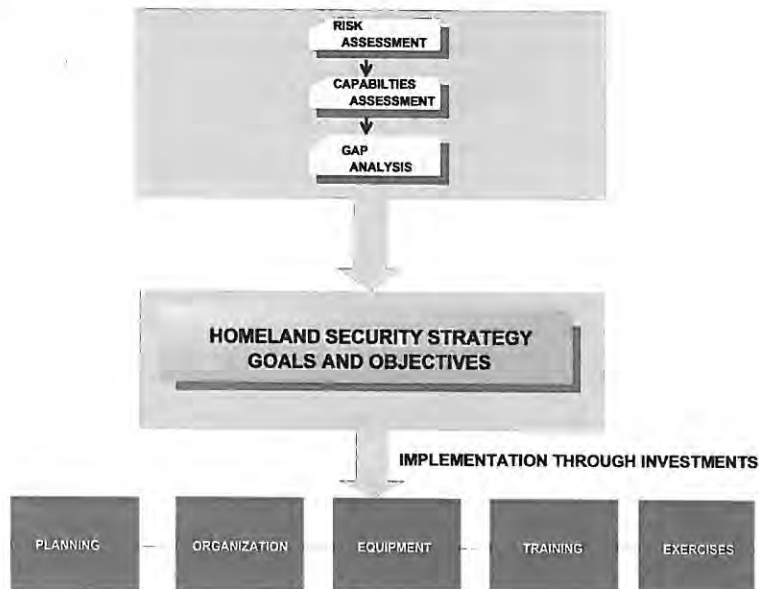
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- Develop a Regional Risk Management and Planning Program;
- Enhance Information Analysis and Infrastructure Protection Capabilities;
- Strengthen Communications and Interoperable Communications;
- Strengthen CBRNE Detection, Response, and Decontamination Capabilities;
- Enhance Medical, Public Health and Mass Care Preparedness;
- Strengthen Planning and Citizen Preparedness Capabilities;
- Enhance Recovery Capabilities; and
- Enhance Homeland Security Exercise, Evaluation and Training Programs.

The planning process used to develop the Strategy is shown below. From the risk and capability assessment process that culminates in a gap analysis, strategic goals and objectives are developed along with implementation steps to track objectives through a series of resource elements divided among the elements of capability: Planning, Organization, Equipment purchase, Training, and Exercises (POETE). The Bay Area UASI Management Team guides this process with technical input from subject matter experts in the Working Groups region.



The Bay Area Homeland Security Strategy was last updated in November 2011/2012. Goals and objectives are directed towards the next three years, but the Management Team will review and update them every two years per FEMA guidance. An update for 2013 is planned to incorporate new cyber security/cyber security objectives.

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The final Strategy is presented by the Management Team to the Approval Authority for approval in October. The Management Team is also responsible for managing and tracking implementation of the Strategy with input from technical experts in the Working Groups see "Portfolio Evaluation and Performance Metrics" under "E. Close Out" below.

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Allocation and Policy Priorities Proposal Guidance

WHAT?	Application criteria and steps for applying for Bay Area UASI funding. Allocation methodology and policy, based on the risk assessment, Bay Area Homeland Security Strategy, and funding levels.
WHEN?	Annually in November/September.
WHO?	Management Team Advisory Group proposes to Approval Authority.

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The Management Team develops a guidance document that includes the proposal template, criteria for funding (including priority capability objectives), the process for the funding of proposals, timeline, and allowable spending areas. The Management Team vets this document with regional stakeholders and presents it to the Approval Authority for approval. The FY14 Project Proposal Guidance, including the proposal template, is included in this document in Appendix A.

The Advisory Group determines allocation and policy priorities to provide guidance to the Working Groups in identifying and prioritizing project proposals. In determining annual allocation and policy priorities, the Advisory Group should incorporate the following:

- Gaps identified in the risk assessment process;
- Priorities highlighted in the Bay Area Homeland Security Strategy;
- Levels of funding available in the fiscal year;
- A fair and balanced regional and programmatic distribution;
- Opportunities to leverage and sustain existing investments;
- Annual overarching priorities for the State Homeland Security Program and UASI. This guidance is provided by Department of Homeland Security in their guidance and application kit issued in the spring; and
- Federal requirements for UASI funds, such as the mandate that 25% of allocations be dedicated to law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities (LETPA).

The Bay Area UASI Management Team will provide to the Advisory Group allocation options for review and consideration. The Advisory Group determines the allocation and policy priorities and presents them to the Approval Authority for approval by November. The Bay Area UASI Management Team then incorporates this guidance into their proposal implementation guidance document and subsequent phases of the project identification process.

Proposals

WHAT?	Project proposals guided by allocation and policy priorities
WHEN?	Annually in November–November–January
WHO?	Working Groups implement and Management Team provides support, oversight, and approval. All UASI stakeholders
DOCUMENTS:	Proposal template–Management Team’s Proposal Implementation

Regional projects may be developed from and/or solicited by operational areas, special districts, or sub-regions within the 12 county Bay Area UASI. Hub Planners, Bay Area UASI workgroups, and Management Team project managers will work with the UASI counties/major cities to engage in outreach to solicit proposals. Proposals are invited from government organizations within the UASI footprint, including all work group and hub participants. All proposals should be submitted by the person who will be primarily responsible for project implementation and should have the approval of the relevant department head. Community-based and nonprofit groups are welcome to submit a proposal, but must do so through a government sponsor/partner. Proposals must adhere to the criteria laid out in the Project Proposal Guidance. For the FY14 grant cycle, these criteria included:

- (1) The proposed project must enhance the region’s priority capabilities – which are those capabilities most relevant and important based on the region’s risk profile, and/or that have a low level of ability based upon the results of the 2013 Bay Area regional risk and capability assessment; and
- (2) The proposed project has a direct nexus to enhancing terrorism preparedness – either preventing, protecting against, mitigating the damage from, responding to or recovering from threats or acts of terrorism; and
- (3) Each project is regional insofar as it directly benefits two or more operational areas in the Bay Area region; and
- (4) The project budget is of a reasonable amount with each element of the project tied directly to a funding amount specified in the project budget section of the template.

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Guided by training, technical assistance, and support from the Bay Area UASI Management Team, Working Groups commence meetings in November to identify proposals based on the allocation and policy priorities provided by the Advisory Group as well as the gap analysis and Bay Area Homeland Security Strategy. The Working Groups are responsible for soliciting and gathering proposal information from each member jurisdiction.

Project proposals must meet the following criteria in order to be eligible for funding, per Department of Homeland Security guidelines:

- Have a high threat, high density urban area terrorism focus;
- Build regional capabilities, defined as capabilities for two or more counties;
- Enhance regional preparedness and directly support the national priority on expanding regional collaboration in the National Preparedness Guidelines;
- Align with the Bay Area Homeland Security Strategy and demonstrate a clear correlation between the goals, objectives, and priorities identified in the strategy;
- Support the federal investment strategy; and
- Incorporate Department of Homeland Security grant program funding priorities as well as other relevant national priorities.

Each year the Management Team produces a comprehensive “Proposal Implementation Guidance” tool in November to provide instructions to Working Group members, including information on allocations, relevant timelines, proposal criteria, allowable spending areas, and the proposal template. This guidance also encourages participants to seek and consider other sources of funding (e.g., State Homeland Security Program, Citizen Corps funding, etc.) in addition to UASI funds.

The proposal template includes information on:

- The requestor;
- Whether the proposal is for a new or continuing initiative;
- High-level goals, key milestones, dates, and outcomes;
- How the proposed maps to mission areas, identified gaps, and Bay Area Homeland Security Strategy;
- How the proposed builds upon existing capabilities;
- Funding needed along the Planning, Organization, Equipment purchase, Training, and Exercises (POETE) continuum;
- Funding that could be obligated towards law enforcement terrorism prevention oriented planning, organization, training, exercise, and equipment activities (LETPA);
- Funding that is, or might be, leveraged from other sources besides UASI; and
- Contingencies for scaling back activities in the event of decreased funding.

See Section VII (Templates) of this manual for the proposal template and Appendix A for a copy of the Management Team’s project proposal implementation guidance from February–September, 2013. In future iterations of the implementation guidance, the Management Team will instruct Working Groups on how to score and prioritize proposals (see next section).

The Management Team, and in particular the Working Group liaisons who are Management Team staff members, work closely with the Working Groups to develop proposals that meet the specified criteria and fulfill requirements of the proposal template. The process should be completed by each January.

Scoring/Prioritizing

WHAT?	Working Groups Hubs score and prioritize proposals
WHEN?	Annually in February/January
WHO?	Working Groups implement and Management Team provides support, oversight and approval. Voting hub members, as selected by the Approval Authority.

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Hubs are based on the geographical location of jurisdictions in the North, East, South and West Bay. These hubs meet to decide on the list of projects for recommendation to the Advisory Group for funding. Each hub develops a list of prioritized projects based on regional need and local capabilities based on the set of goals from the Bay Area Homeland Security Strategy. Hubs may also designate other criteria as mutually agreed (e.g., provide scalable solutions, leverage other funding sources, and benefit the most operational areas.) In the proposal implementation guidance provided by the Bay Area UASI Management Team, Working Groups are instructed to develop a finite number of proposals (approximately ten-twenty), score them using pre-determined criteria, and thus prioritize them. The end result is lists of proposals in order of priority that represent the collective thinking and recommendation of each Working Group. This process should be completed and approved by the Management Team by February.

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Working Groups should prioritize proposals with the strongest business cases using the following criteria:

- Impact on existing critical gaps;
- Urgency;
- Strategic regional importance;

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- Fostering sustainability of prior investments and/or providing critical support to projects already in progress;
- Best value for money, including the ability to leverage other funding streams;
- Greatest likelihood of success;
- Consistency with federal priorities and
- Balance of jurisdictional distribution.

Project Approval

WHAT?	Advisory Group reviews project proposals and makes recommendations to Approval Authority for final project approval
WHEN?	Final approval takes place Annually by in March
WHO?	Advisory Group and Approval Authority
DOCUMENTS:	List of projects by hub in order of priority, to be funded as funds become available, as well as regional "off the top" allocations.

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The Bay Area UASI Management Team reviews the prioritized proposals from the Working Groups and may combine like proposals into larger projects as appropriate. Once reviewed and approved, The Management Team forwards project proposals in priority order from each Working Group/hub to the Advisory Group for final funding recommendations review. The Advisory Group also reviews sustainment projects regional projects.

The Advisory Group must have pre-identified criteria upon which they base final project recommendations for the Approval Authority, which should be consistent with the allocation and policy priorities they had developed at the beginning of the project identification process. In its final approval recommendations, the Advisory Group should also prioritize projects either in list order or in low, medium, high categories so that should funding levels change, new allocations can be swiftly made according to consistent criteria.

Upon review and additional analysis as needed, the Advisory Group forwards selected projects in prioritized order to the Approval Authority for final approval, which should take place by March.

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Investment Justifications

WHAT?	Investment justifications are required by Department of Homeland Security and demonstrate how projects link to federal priorities
WHEN?	Annually in March-May
WHO?	Management Team prepares and submits to Cal-EMACal OES
DOCUMENTS	Investment Justification template/ user reference guide from Department of Homeland Security

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The Department of Homeland Security requires detailed investment justifications as part of the Homeland Security Grant application process. The investment justification must demonstrate how proposed projects address gaps and deficiencies in current capabilities. ~~Once the grant award is announced, and after~~ ~~One~~ projects are approved by the Approval Authority, the Bay Area UASI Management Team groups like projects together into investment categories. Typically, there are approximately ten investment categories that mirror the Bay Area Homeland Security Strategy (e.g., CBRNE, Information Analysis, Interoperability, etc.), and each investment category includes a range of associated ~~projects, projects~~ (approximately two to ten).

The Management Team prepares the Investment Justification document with guidance/~~templates~~ from the Department of Homeland Security, ~~and with technical input as needed from the Working Groups.~~ These documents are prepared ~~starting~~ in March-May and submitted to the California Emergency Management Agency-California Office of Emergency Services (Cal-EMACal OES).

UASI Grant Application

WHAT?	Homeland Security Grant Program/UASI grant application
WHEN?	Application s Submitted to Cal-EMACal OES each year in May August and to the federal level by June
WHO?	Management Team prepares application for Approval Authority approval, four weeks before submits to submission to Cal-EMACal OES

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The Bay Area UASI Management Team completes the UASI grant application, ~~which includes projects and investment justifications, and submits it to the Advisory Group and Approval Authority for review in April. Upon approval, the Management Team and sends it to the California Emergency Management Agency-California Office of Emergency Services (Cal-EMACal OES), which ultimately forwards it to the Department of Homeland Security. The DHS deadline for final submission is in June.~~

Per the Approval Authority ~~By-laws~~By-laws (July-August 2011-2013 Section 8.4), the General Manager reports to the Approval Authority on grant awards received from Cal-EMACal OES at the next regular meeting following the award. For the UASI grant, if the award is less than the application amount, the General Manager, after consulting with the Advisory Group, submits recommendations for reallocation to the Approval Authority for approval. The reallocation recommendation includes the grant projects, the amount of proposed funding for each project and the proposed breakdown of the funding for that project by category, and the jurisdictions proposed to receive the funding along with the amount of funding proposed for each jurisdiction.

Project Identification Summary

Risk and Capability Assessment	WHAT? Assessment of assets and capabilities in order to produce a risk based gap analysis	WHEN? Annually - kick off in June, extends through August	WHO? Stakeholders; Management Team, ITRC, Digital Sandbox
Bay Area Homeland Security Strategy	WHAT? Data driven document that outlines the Bay Area UASI's risks, capabilities, vision, structure, goals and objectives	WHEN? Updated every two years, informed by the results of the risk assessment	WHO? Working Groups input, Management Team implements, Approval Authority approves
Project Proposal Guidance	WHAT? Application criteria and steps for applying for Bay Area UASI funding	WHEN? Annually in September	WHO? Management Team provides to Approval Authority for Approval
Proposals	WHAT? Project proposals, guided by criteria laid out in the Project Proposal Guidance	WHEN? Annually in November	WHO? All Bay Area UASI stakeholders
Prioritizing	WHAT? Hubs prioritize proposals in numerical order to receive Advisory Group prioritizes regional projects	WHEN? Annually in February	WHO? Hubs and Advisory Group with support from the Management Team
Project Approval	WHAT? Advisory Group reviews project proposals and recommends requests to Approval Authority for final project approval	WHEN? Final approval takes place by March	WHO? Advisory Group and Approval Authority
Investment Justifications	WHAT? Investment justifications are required by Department of Homeland Security and demonstrate how projects link to federal priorities	WHEN? Annually in May	WHO? Management Team prepares and submits to Cal OES
UASI Grant Application	WHAT? Homeland Security Grant UASI grant application	WHEN? Application submitted to Cal OES each year in August	WHO? Management Team prepares application

Note: Timelines may vary due to changes in federal/state grant allocation and program schedules

C. Planning

Responsibilities

The sub-recipient Project Lead of the Bay Area UASI Management Team is responsible for all aspects of the project planning phase, with significant support from the Bay Area UASI Management Team Project Manager as well as partner jurisdictions and technical experts, as appropriate. Working with his or her team, the Project Lead defines the work tasks that are required to accomplish project deliverables and goals, and ensures required procurement processes are carried out, working with sub-recipient jurisdictions as necessary.

A Bay Area UASI project is documented in detail in the original project proposal that is selected by the hub and approved by the Approval Authority – see “Identification” above. The planning phase starts once the proposal is approved for funding. Planning produces a refined understanding and estimates of timeline, budget, schedule, and roles and responsibilities for the Project Team and stakeholders, as well as project communication needs. Key documents of the planning stage are the project plan and, if applicable, Memoranda of Understanding (MOU) Letters of Agreement (LOA), Request for Proposals (RFP)/Request for Qualifications (RFQ) solicitations, and vendor contracts. In addition, in cases of complex projects involving multiple stakeholders and significant investments, the Bay Area UASI Project Manager may request sub-recipient jurisdictions to participate in the development of a project plan document. Once the project plan and any required MOU/LOA documents are completed and approved, the project is ready to begin implementation.

MOU/LOA Appendix A

The Memorandum of Understanding (MOU) document outlines an agreement between the sub-recipient and the City and County of San Francisco, which serves as the fiscal agent for the Bay Area UASI, to procure goods and services needed in project implementation. A Letter of Agreement (LOA) is a very similar document between the Bay Area UASI (acting by and through the Bay Area UASI Management Team) and another department within the City and County of San Francisco.

The MOU/LOA document contains an Appendix A entitled “Authorized Expenditures and Timelines” in which project information is detailed by solution area (Planning, Organization, Equipment purchase, Training, and Exercises-POETE), program description, deliverable due date, and amount. In order to provide accurate information in the Appendix A, the Project Lead must work from the originally approved project proposal. The Project Lead works with the Bay Area UASI Project Manager and appropriate sub-recipient jurisdiction representatives, team members, and/or technical experts as needed to define and describe work tasks. MOU/LOAs must be completed, signed, and approved as part of the project planning phase. There are often multiple MOU/LOA agreements associated with a project, but in some cases, there may be none.

See Section IV of this manual on (p)Procurement for more information on executing and modifying MOU/LOA agreements. In particular, see "Appendix A – Authorized Expenditures and Timelines" for more information on allowable costs and requirements. In addition, the MOU/LOA Appendix A template can be found in Section VII (Templates).

Vendor Procurement

Many Most Bay Area UASI projects require contracts with outside vendors, and, in most cases, usually the contracting entity is a sub-recipient jurisdiction. Sub-recipients should use their own procurement procedures, regulations, and best practices, provided these conform to applicable federal law and standards. Sub-recipients are required to provide the Management Team's Grants Management Unit a copy of their procurement policies for review. The sub-recipient jurisdiction must also comply with all relevant guidelines laid out in this manual, including those in Section IV (Procurement), on procurement, as well as meet the approval requirements listed in the next section. Working with the Grant Management Unit, The Project Lead the sub-recipient project lead is responsible for oversight and support to sub-recipients on procurement processes as needed. The Management Team is available to support jurisdictions with best practices concerning vendor solicitation, selection, negotiation, and management.

In many cases sub-recipient jurisdictions may begin the vendor procurement process in advance of the finalization of the MOU. Such work can include doing market research and drafting the solicitation. In addition, some jurisdictions are able to post the solicitation as well as select a vendor and negotiate a contract. However, in no instances may a sub-recipient jurisdiction obligate the funds, incur costs, and submit a reimbursement request for work on a contract that is not consistent with the time period stated on an approved MOU document.

In cases when a project does not include sub-recipient jurisdiction funding, all procurement processes are the responsibility of the Bay Area UASI Management Team Project Lead Manager, working in partnership with the Grants Management Unit and under the guidance of the Regional Program Manager. Such procurement and should be conducted per the policies and procedures of the City and Country of San Francisco as the Bay Area UASI fiscal agent. Detail on this process is included in Section V on procurement below (see "San Francisco Procurement Process for Professional Services Contracts").

In all vendor contracting processes, the Project Lead should work closely with their team/subject matter experts to develop solicitations and contracts that are technically accurate and consistent with details in the project plan proposal and MOU/LOA agreements, if applicable.

Approval of Vendor Solicitations and Contracts

Jurisdictions issue a contract solicitation following a sub-grant award that has been reviewed by the Advisory Group and approved by the Approval Authority. (However, should there be any

instance in which the Approval Authority has not already approved the allocation, allocation; the General Manager is responsible for informing the Approval Authority about any contract solicitation in an amount above \$500,000).

All solicitations for contract services must be reviewed and approved by Bay Area UASI General Manager or designee. In addition, the General Manager or designee will share all contract solicitations in amounts above \$250,000 with the Advisory Group and Approval Authority for review before issuance by the Management Team or the sub-recipient jurisdiction. For solicitations below the \$250,000 threshold, the General Manager will inform the Advisory Group and Approval Authority of their issuance at their next scheduled meetings.

All contracts must be reviewed and approved by the Bay Area UASI Grants Management Unit and the General Manager or designee. In addition, the General Manager will share a draft contract that has been successfully negotiated with a selected proposer for projects in excess of \$250,000 with the Advisory Group and Approval Authority for approval.

To obtain approval by the Bay Area UASI Management Team and Approval Authority, all solicitation processes/contracts must, at a minimum include the following elements:

Solicitation phase:

- **Engage in a full and open competitive bidding process** or a sole source process as determined by local policy, provided that such a process is not in conflict with federal regulations which supersede it.
- **Obtain a state sole source approval** if there is only one bid or only one vendor that can perform the services required and the contract is \$100,000 or more. In such cases the contracting entity must transmit a sole source request to the Bay Area UASI Grants Management Unit for submission to the State.

Selection phase:

- **Include a selection panel that is comprised of subject matter experts** from among regional stakeholders. The Project Lead and any team members who worked on the Request for Proposals (RFP)/Request for Qualifications (RFQ) may not serve on the selection panel, but may coordinate selection panel logistics, provide technical input, and/or observe the process. The selection panel should consist of an odd number of people ranging from three to seven members.
- **Make a selection based on criteria that is published in the RFP/Q.** Evaluating proposals or making comments based on previous experiences or hearsay should be discouraged. Panelists should be directed to focus on the information in the proposals and base their evaluation and selection on those materials.
- **Observe confidentiality.** Panelists should not, under any circumstances, contact or communicate with any of the proposers or anyone outside of the selection panel process, including members of the Approval Authority and the Management Team. Names of the

proposed bidders should also be held in confidence. This lock-down of information is intended to preserve integrity and fairness.

- ***Include signed impartiality/conflict of interest statements for selection panel members.*** See template in Section VII. A panelist is prohibited from participating in an RFP/Q screening or evaluation process if he or she, or any member of his or her immediate family (including spouse/domestic partner and dependent children):
 - Has received income or gifts within the past year from any of the proposers;
 - Has any ownership interest or other direct or indirect investments, other than mutual funds, in any of the proposers;
 - Expects or intends to seek employment or any other relationship with any of the proposers; and/or
 - Has any other direct or indirect interest in any of the proposers that would prevent him or her from exercising fair and impartial judgment when participating in the RFP screening or evaluation process.

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. See also Section II of this manual for more information on ethical and conflict of interest standards.

Negotiation/ contract stage:

- ~~Contain~~**Ensure costs that are reasonable and consistent** with the amount paid for similar services in the market place—a reasonable cost/price analysis must be conducted by the Project Team.
- **Include a clearly written scope of services**, tangible deliverables, clear performance periods, and a schedule of payments by deliverable.
- **Be performed and paid in entirety within the grant performance period.**

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Final Project Green Light

In the final project approval process, the Project Lead is required to present the completed project plan and, if applicable, MOU/LOA agreements. In addition, if applicable, possible, and appropriate to the timeline of the project, the Project Lead should provide vendor solicitations and contracts at the time of final approval as well.

The Bay Area UASI General Manager or designee approves the project, ensuring the documentation is complete, accurate, and consistent, and that the project approach is sound and in line with the high-level goals, outcomes, and timeline approved at the proposal stage. If a project meets these standards, the General Manager or designee provides the green light for implementation to begin. For projects with budgets less than \$250,000, the General Manager should notify the Advisory Group and Approval Authority of such approval at their next scheduled meetings. For projects with budgets in excess of \$250,000, which are most Bay Area UASI projects, the General Manager must first gain approval from the Approval Authority on the recommendation of the Advisory Group before the project may begin.

At his or her discretion, the Bay Area UASI General Manager or designee may approve the project and permit the project to launch with only a contract solicitation document and without a final, signed contract. However, the project plan and any MOU/LOA documents, if applicable, must be final and approved in all instances before a project may begin.

Project Plan

A project plan develops the details of a project that are further fleshed out and updated from the proposal stage. In special cases when projects are particularly complex and involve multiple stakeholders and significant investments, the Bay Area UASI Project Manager may request sub-recipient jurisdictions to participate in the development of a project plan document. The Project Lead is responsible for drafting a project plan for each of the projects in his or her portfolio. A project plan may also be required by the General Manager for special initiatives that are managed by the Management Team. A project plan develops the details of a project that are

further fleshed out and updated from the proposal stage, what was submitted and approved as part of the Investment Justification, and from the level of detail in MOU/LOA agreements, if applicable.

Project Leads should work with the Bay Area UASI Project Manager, their team members, Working Group, and other subject matter experts to develop the project plan, working from the required template (See Section IVII). In working collaboratively with team members, the Project Lead not only ensures that all technical bases are covered, but is also more likely to obtain the team's buy-in. The following elements are included in the project plan template. Note that the template also includes guidance which Project Leads should follow when completing the plan.

- Project goals and rationale;
- Project outcomes and requirements;
- Deliverables and requirements;
- Budget and timeline;
- Roles, responsibilities, and stakeholders;
- Communication;
- Risks and mitigation; and
- Approvals

The project plan is a key deliverable for the Project Lead, and it is the core governing document for the project to which the Project Lead and team members are held accountable. Information in the project plan must be consistent with that in the MOU/LOA agreements and vendor solicitations and contracts, if applicable. The length of time to prepare a project plan will vary due to the complexity, size, and number of stakeholders involved in the project, but this should usually range from a couple of days to a few weeks.

Project plans must be approved by the Bay Area UASI General Manager or designee and sub-recipient representatives, as appropriate.

The General Manager may only approve a project plan once MOU/LOA agreements are completed/updated and approved, if applicable. Projects with budgets greater than \$250,000 must first be approved by the Approval Authority on the recommendation of the Advisory Group (see "Final Project Green Light" below). If possible and appropriate to the timeline of the project, the Project Lead should provide vendor solicitations/contracts at the time of project plan approval as well. The approval of the project plan is the final step in the planning phase and once approved, project implementation may begin.

D. Execution

Responsibilities

The Project execution phase begins once the project plan and associated documents vendor contracts and the MOU document are approved/finalized. In execution, the Project Lead the sub-recipient project lead carries out the project as defined in the documented project proposal

~~document and refined in any vendor contract and plan. In addition, sub-recipient jurisdictions are responsible for carrying out all terms and conditions of their Memoranda of Understanding/Letters of Agreement (MOU/LOAs), in close communication with the Project Lead.~~

~~The Bay Area UASI Management Team Project Manager works closely with Project Lead the sub-recipient project lead reports during execution. The Project Manager is tasked to with ensuring the project is on time and on budget and to help follow up on deliverables and compliance as specified in the MOU, such as Environmental and Historic Preservation (EHP) approval, sole source approval, and performance bond acquisition. The Project Lead reports to the Project Manager on the on-the-current status of the project, identifying and analyzing any variances between the plan and actual project. As necessary, the Project Lead and Project Manager will seeks corrective actions to update project timeline, scope, and budget, and updates project documents accordingly. Oversight of project execution is carried out by the Bay Area UASI Management Team and, at a technical level, through the associated Working Group. The Bay Area UASI General Manager or designee is responsible for reporting on project progress and change management to the Advisory Group and Approval Authority.~~

Kick Off

A project kick off meeting organized by the Project Lead is often an appropriate way to begin work on a new project and is an identified best practice in project management. This meeting involves relevant team members and stakeholders, and could include the following activities:

- Senior managers demonstrating to the project participants their support for the effort;
- Review of the project plan;
- Relationship building among team members;
- Explanations of operating procedures; and
- Work on immediate first steps as laid out in the project plan.

Document and Records Management

~~Project Leads must maintain complete and accurate records on all program activities. This includes meeting agendas, meeting minutes, progress reports, project plans and agreements, and interim and final deliverables. They must also ensure project team members and stakeholders receive relevant documentation and communications in a timely manner.~~

~~Project Leads are responsible for adhering to office administrative policies related to document organization and management. They are required to store information in an organized fashion that is accessible to other members of the Project Team and the Bay Area UASI Management Team. They are also responsible for retaining documents and records related to their projects for a period of three years after the close of the grant.~~

~~Sub-recipient jurisdictions are required to adhere to their home office policies and procedures regarding document and records management, the terms and conditions of their MOU/LOA~~

agreements, as well as the provisions in the procurement and financial management sections of this manual. All sub-recipients are required to retain all documentation related to project implementation and expenses reimbursed under the Bay Area UASI for a period of three years after the close of the grant. All records associated with Bay Area UASI projects must be made available to the Bay Area UASI Management Team, and financial records are also subject to review by the ~~California Emergency Management Agency~~ California Office of Emergency Services (Cal-EMACal OES) and the Department of Homeland Security staff.

Reporting

Successful project execution requires a variety of reporting at all levels of the Bay Area UASI; and in most instances the responsibility for this rests with the Project Lead. Reporting requirements include the following:

- **Project Team Status Check-In**— The sub-recipient Project Lead is responsible for checking in with his or her team, vendors, and/or ~~and~~ partner jurisdictions to make progress on deliverables as stated in the project proposal/plan/vendor contract. For more complex projects, regular project team meetings may need to occur weekly or biweekly. Meetings may occur by phone, email, or in person. The Project Lead should work with team members on an ongoing basis to ensure that expectations are synchronized with what has been accomplished, what needs to be accomplished, and the challenges being encountered. The Project Lead should 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.
- **Working Group Check-In**— The sub-recipient Project Lead is responsible strongly urged to participate in the for regular reporting on project progress in the technical Working Group associated with the project. The subject matter experts in the Working Group play an important role in sharing lessons learned, developing regional cooperation, and providing technical oversight during project execution.
— The frequency and detail of such reporting should be determined by the group.

• **Portfolio Meetings with the Bay Area UASI General Project Manager** — The Project Lead is responsible for regular project portfolio reporting to the Bay Area UASI General Project Manager or designee. These face to face meetings should take place at least biweekly, and discussion of higher risk/higher cost projects should take precedence. The Project Lead should discuss include the following in his or her reporting:

- Implementation accomplishments for the reporting period;
 - Implementation challenges for the period and how they are being addressed;
 - Progress on scope, schedule, and budget, and deviations from that agreed to in project plans; documentation.
 - Action plan for the next reporting period and input on key decisions as appropriate; and
- Discussion and decisions as appropriate on needed changes in project scope, schedule or budget.

- **Grants Compliance Reporting**— So that the Bay Area UASI may remain in compliance with federal and state policies and procedures, sub-recipient jurisdictions and Project Leads leads are responsible for program and financial reporting as directed by the Grants Management Unit. This includes quarterly reports during implementation. For more information on sub-recipient monitoring and reporting see Section VI (Financial Management) of this manual.

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- **Quarterly Advisory Group and Approval Authority Reporting**— The Bay Area UASI General Manager or designee is responsible for reporting on project progress to the Advisory Group and Approval Authority. The General Manager may single out high risk/high cost/ impact projects for regular progress reporting, as directed by the Approval Authority. On a quarterly-regular basis, the General Manager or designee will provide portfolio status and financial reports detailing progress by sub-recipient jurisdiction sub-recipient and grant source as well as technical subject matter area. The General Manager will develop and share templates for such reports with the Advisory Group and Approval Authority for feedback and approval.

Change Management

Procedures for Timeline and Scope

Project change management is the practice of controlling and documenting changes to the baseline project plan documentation. The baseline is the most recently approved version of the project plan. Most projects are dynamic in nature, and if the Project Lead doesn't keep the baseline plan up to date, it will soon become ineffective. Managing the project during the implementation stage means monitoring actual activity against planned (baseline) progress and making the necessary course changes in schedule, scope, and/or budget to meet user and stakeholder expectations. Section 8.6 of the August 2013 Approval Authority By-laws governs grant budget modifications for the Bay Area UASI. It is a project management best practice to document all approved changes to the baseline project plan. This is important in order to understand how the project changed over time and why, and in order to continue to have a clear and approved road map for implementation.

Change Request Form

The Project Lead is responsible for project change management and must make requests for timeline, budget, and scope changes to the Bay Area UASI General Project Manager or designee in a timely manner during regular portfolio reporting meetings (see "Reporting" above) using the Project Change Request Form (see template in Section VII). This form is necessary to collect all of the required information at one time to evaluate the request at one time, share the information appropriately, as well as to maintain needed documentation. The form is intended for requested changes to timeline, scope, and/or budget, and it collects information on the nature of the request and why it is needed.

The General Manager will carefully review such requests for both consistency with the project goals and objectives stated in the project plan as well as the Bay Area Homeland Security Strategy.

Project Timeline Change Requests: The sub-recipient Project Lead s should immediately notify the Bay Area UASI Project Lead-Manager in the event they are unable to meet their deliverable due dates and specifications as approved in their MOU/LOA document. A request for an extension of the performance period should be at least 90 calendar days before the end date of the performance period, if not sooner. See "E. Modifications to MOU/LOAs" in Section IV on procurement below.

Funding of "Next-in-Line" Projects: During the project "Identification" phase, hubs are asked to identify projects to be funded if and when additional funding becomes available in the course of the grant period. Funding may become available if a jurisdiction is unable/no longer interested in implementing project goals and objectives as originally stated and approved by the Approval Authority; or expenditures for a project are lower than originally budgeted. In both of these instances, jurisdictions are required to return the funds to the hub to fund project/s "next-in-line" for funding. Projects should be funded in order of priority as funds become available. However, a hub may decide by mutual agreement to adjust the order or adjust the cost allocated to projects.

In special cases, unused funds may be allocated towards new purposes within that same project when all of the following conditions are met as determined by the General Manager, the original allocation was made to fund a part of a project and funding subsequently became available due to the fact that costs of the project were less than originally anticipated; and the new purposes are clearly defined in the original project proposal that had been vetted and approved by the Approval Authority; and at the time of the original project allocation approval, the Approval Authority clearly states that it would be permissible to allocate any project savings towards new purposes in the project.

Appeal Process: The General Manager is granted discretion in approving project change requests as specified above. If a sub-recipient jurisdiction believes such discretion has been applied in a way that is not consistent with these guidelines, or is not in the spirit of fairness or effectiveness, he or she may seek to appeal the decision. Such an appeal should first be made directly to the General Manager and then, if still not resolved to the parties' satisfaction, directly to the Approval Authority.

Monitoring

Project Leads are responsible for monitoring the progress of their projects and meeting timeline, budget, and quality standards as specified in the project plan and other project documents, if applicable. A key tool in such monitoring is the project team status check in. The Bay Area UASI General Manager or designee provides oversight through regularly scheduled portfolio reporting meetings with Project Leads as well as provides regular reporting on project status to the Advisory Group and Approval Authority (see "Reporting" above).

The Bay Area UASI Management Team is Project Managers are responsible for monitoring sub-recipients to determine effectiveness and efficiency of operations, reliability of reporting and recordkeeping, and compliance level. Key concerns of the Project Managers are:

- The status of execution of the project (Is the project on time and on budget? Have the items been ordered? Are there any issues in the procurement process?)
- The status of reimbursement requests (Have they been submitted?)
- Have grant requirements been met? (EHPs, performance bonds, job descriptions, etc.)

The Grants Management Unit accomplishes monitoring through a combination of desk-based reviews and on-site monitoring visits. Monitoring involves review and analysis of financial,

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programmatic, performance and administrative issues, and identifies areas where technical assistance and other support may be needed. The sub-recipient is responsible for resolving any monitoring findings (i.e., findings of non-performance or non-compliance) in a timely manner by a corrective action plan and technical assistance in association with the Management Team. See "C. Sub-recipient Monitoring" in Section VI on financial management below for more information.

Deliverable Quality Standards

The sub-recipient Project Lead is ultimately responsible for project quality and outcomes. He or she must ensure that project deliverables are of high quality and meet specifications in the project plan and other project documents, if applicable documentation. He or she is responsible for those projects that include sub-recipient award financing, the sub-recipient jurisdiction is responsible for achieving high quality and timely deliverables as specified in the MOU/LOA agreement, and the Project Lead provides support and oversight in this regard.

Project Leads and sub-recipient jurisdictions are responsible for providing oversight and management to professional services consultants and ensuring deliverable quality and timeliness. Payments to vendors should be structured by deliverable and should not be authorized by the contract holder until quality standards have been met by the vendor.

All written products associated with projects including Word, Excel, and PowerPoint documents as well as email communications should be clear, organized, accurate, to the point, and timely. 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. Final deliverables should also be reviewed by the subject matter experts in the Working Group for technical accuracy.

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E. Close Out

Administrative Close Out

At project end, the Project Lead Bay Area UASI Project Manager is responsible for ensuring that electronic and hard copy project files are archived in an orderly and easily accessible fashion. To preserve storage space, unnecessary documentation should be deleted. Hard copies of final products should be retained.

The Management Team's Grants Management Unit will work with sub-recipient jurisdictions as needed to make sure all sub-grant allocations are properly closed out. Please see Section VI (Grant Close out) for information about the process. From a financial management perspective, the closeout of a grant is the process by which the California Emergency Management Agency California Office of Emergency Services (Cal EMACal OES) determines that all applicable administrative actions and all required work of the grant have been completed by the Bay Area UASI. Once the close-out process is achieved, revenues should match expenditures, and all general ledger accounts should be cleared in FAMIS, the City and County of San Francisco budget and accounting system.

Sub-recipient jurisdictions are required to retain all documentation related to project implementation and expenses reimbursed under the Bay Area UASI for a period of three years after the close of the grant. This retention period will commence upon receipt of the final close-out of the grant letter by Cal OES.

Lessons Learned

Once a project is complete, the Project Lead Bay Area UASI Project Manager is responsible encouraged to prepare for preparing a "lessons learned" document or having have a lessons learned discussion in the technical Working Group associated with the project. This would be useful for projects involving multiple stakeholders and jurisdictions and is, which is key to improving similar work in the future. Some questions to consider include:

- Did the project achieve its outcomes/requirements as stated in the project plan documentation?
- What went well and why?
- What went wrong and why?
- What did we do about it?
- What else might we have done?
- What are lessons learned for future projects and teams?

Portfolio Evaluation and Performance Metrics

In May of each year, the Bay Area UASI Management Team works with the Working Groups to evaluate progress and measure performance on the portfolio of Bay Area UASI projects. Using the Bay Area Homeland Security Strategy as a reference, the Management Team:

- Inventories projects based on each capability and strategic goal;
- Tracks whether implementation steps within each objective are complete, partially complete, or ongoing, which shows allocation of resources and improvement in capability along the Planning, Organization, Equipment purchase, Training, and Exercises (POETF) continuum;

Updates the outcome for each objective. The Bay Area UASI analyzes the outcomes and effectiveness of its work is through the Effectiveness Report, which was last issued in January 2013. This report evaluates how investments better position the Bay Area region to prevent, protect against, mitigate, respond to and recover from acts of terrorism and other hazards.

- In addition, in June 2013 the Bay Area UASI introduced specific performance measures ("measures and metrics" project) within the Digital Sandbox software system that are tied to FEMA's core capabilities in June 2013. This allows the region to locally define the core capabilities and thus more concretely track progress at the regional as well as each Operational Area level.

Other efforts to evaluate the portfolio of Bay Area UASI projects include: reviewing and analyzing After Action Reports (AAR) and improvement plans to determine whether we are enhancing capabilities and overall preparedness, as well as identifying multi-year training and exercise plans to assess and test capabilities. Exercises should be designed around testing and evaluating the region's ability to prevent, protect against, mitigate, respond to and recover from the highest risk terrorism scenarios. See the Bay Area Homeland Security Strategy section on evaluation for more information on portfolio evaluation.

Drawing from this analysis, the Management Team identifies Bay Area specific performance measures based on FEMA's Target Capabilities List and National Incident Management System (NIMS) Standardized Emergency Management System (SEMS) resource types. Both the Target Capabilities List and the NIMS/SEMS lay out critical tasks, performance measures, targets and standards for resources that can serve as useful indicators regarding the current level of preparedness in a given capability area. However, these are not tailored to the specific needs of a given jurisdiction or region. Therefore, the Bay Area must define those targets, measures, and metrics specifically for the region and should do so according to federal standards in the near future.

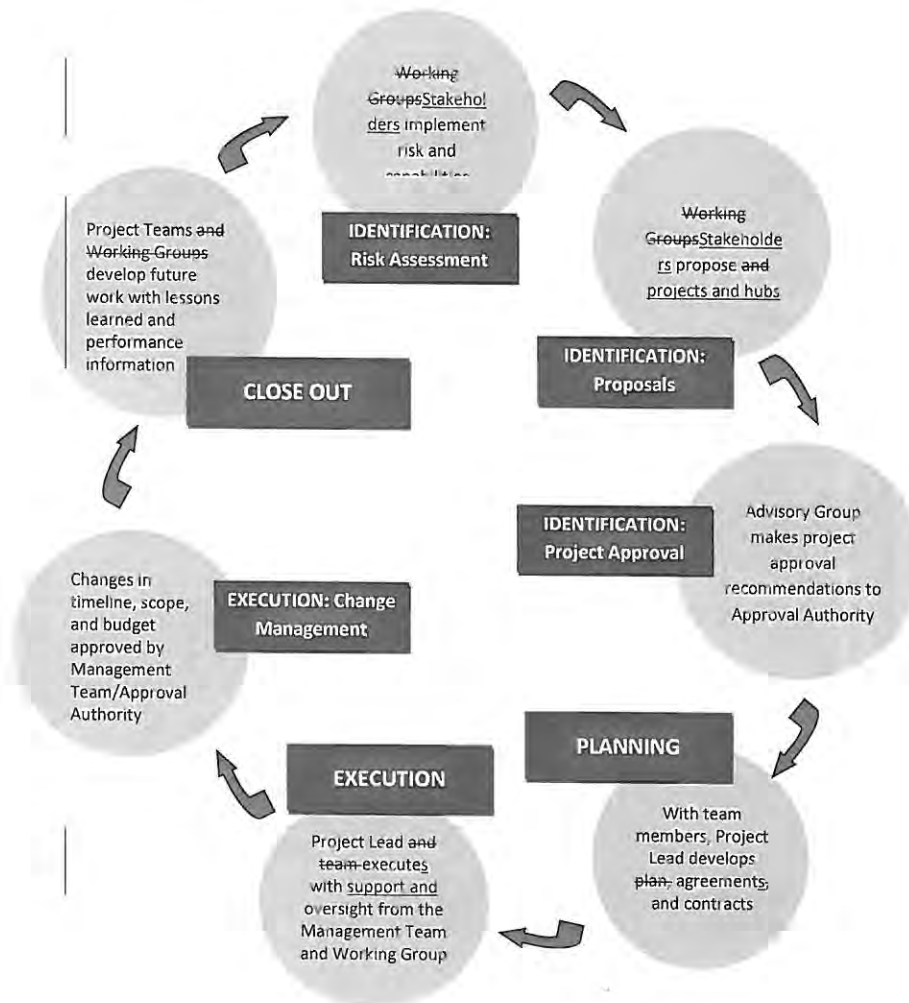
The Management Team reports to the Advisory Group and Approval Authority on portfolio evaluation and performance metrics. Towards these ends, the Management Team:

- Produces a Bay Area Annual Report that outlines the annual accomplishments and major activities so stakeholders are kept informed.
- Conducts grant effectiveness analysis and produces grant effectiveness reports to demonstrate the value of UASI and other homeland security grants to local, state, and national leaders.

The Bay Area UASI uses information on portfolio performance and metrics, as well as updates to the Bay Area Homeland Security Strategy, to inform the next cycle of needs, capabilities, and gap assessment, and thus the next cycle of project identification.

The Bay Area UASI evaluation process will also integrate with and support the State of California Metrics Project, which seeks to similarly measure the effectiveness of homeland security investments and capability levels across the State, as well as the DHS mandated State Preparedness Report (SPR) and the SPR survey tool.

F. Summary of the Project Cycle



C. Summary of the Project Team

	Project Lead	Working Group
Planning	<p>The Project Lead is the person in charge of the project from the sub-recipient jurisdictions Program/Project Manager with the Bay Area UASI Management Team</p> <p>With team members, the Lead is responsible for all aspects of project planning, including inputting into the MOU/LOA agreement, the project phase, and vendor solicitations and contracts.</p>	<p>Each project is associated with a technical Working Group, which is comprised of regional subject matter experts</p> <p>The Working Group guides may guide the Project Team in developing the project plan and the scope of work for any vendor solicitations and contracts.</p>
Execution	<p>With team members, the Lead is responsible for all aspects of the project execution phase, including managing changes in budget, timeline, and scope. The Lead reports regularly on progress to the Bay Area UASI Project Manager and Working Group.</p>	<p>The Working Group helps progress updates from the Lead and provides technical oversight input during project execution.</p>

Close Out	<p>With team members, the Lead is encouraged to responsible for document mg and discussing project lessons learned with the Working Group, works with the Management Team to close out sub-grant allocations per Cal OES specifications.</p>	<p>The Working Group applies lessons learned and inputs into portfolio evaluation and performance metrics to improve future project outcomes.</p>
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IV. COMPLIANCE

To successfully complete the grant process, every jurisdiction and agency receiving federal homeland security program funds must comply with the rules, laws, and guidelines that govern federal grant awards. The Bay Area UASI Management Team Grants Management Unit provides oversight of grant activities through a review of an organization's processes and supporting documentation to ensure compliance. This section includes a list of compliance requirements and forms.

A. Policies and Procedures

The *Code of Federal Regulations Title 44 (44 CFR) 13.20 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments* describes post award requirements for grantees and sub-recipients. These requirements include: financial reporting, the maintenance of accounting records, and internal controls (among others). In order to ensure compliance with grant guidelines, each Bay Area UASI sub-recipient agency is required to develop and maintain a written policies and procedures manual that can be provided upon request to the Grants Management Unit. This manual should describe in detail the requirements as well as monetary thresholds for obtaining approvals to expend grant funds. All local policies and procedures are to be followed as long as they do not conflict with federal regulations or guidelines.

In addition to a Policies and Procedures manual, all sub-recipient jurisdictions should develop and maintain a written fraud policy. In Section II (Roles and Responsibilities) of this document, Item G defines fraud and provides information on what should be included in this policy.

B. Required Forms

Under certain circumstances, sub-recipients may be required to submit forms to the Bay Area UASI Management Team and receive state and/or federal approval prior to beginning the purchasing process. The following forms – Environmental and Historic Preservation, Aircraft, Watercraft, EOC, and Sole Source – can all be downloaded from the Bay Area UASI website (www.bayareauasi.org) and are to be completed and submitted to the pertinent Bay Area UASI Project Manager for submission to the Cal OES. The Bay Area UASI Project Manager will support the sub-recipient jurisdiction in identifying and completing required compliance requirements.

Environmental & Historic Preservation (EHP)

Federal environmental and historic preservation laws and executive orders provide the basis and direction for the implementation of EHP review requirements for FEMA-funded projects. As

described below, the purchase of certain equipment and the conduct of field-based training or exercises trigger the need for an EHP review. Moreover, EHP approval is required prior to either the ordering of equipment or the conduct of any training or exercise.

- All equipment must have an Authorized Equipment List (AEL) number in order to be eligible for grant funding. Using the Responder Knowledge Base website (www.rkb.us), sub-recipients must check the AEL number of the equipment item in question. Each item that may have an EHP requirement has a green box with the following language: "*Certain products in this category have been identified as requiring an Environmental and Historic Preservation (EHP) review. This does not apply to mobile and portable equipment, however all other items must be submitted for review. Please contact your assigned GPD Program Analyst or the Centralized Scheduling and Information Desk (CSID) at 1-800-368-6498 for further information.*" As indicated, if there is no green box or if the item is mobile or portable, no EHP is required.
- For training classes, only field-based training classes require the submission of an EHP.
- For exercises, only field-based exercises require the submission of an EHP.

In order to complete the EHP Form, sub-recipient project leads will work with their respective Bay Area UASI Project Manager to answer the pertinent questions. The form must include a brief, clear description of the project. If equipment is being purchased, the equipment quantity must be included and if the equipment is to be installed, aerial and ground level photographs are also required. If the EHP is for training or exercise, the physical location of the site (including longitude and latitude) must be provided.

Aircraft Form

If a sub-recipient jurisdiction is purchasing an aircraft or any equipment item that attaches to an aircraft, the Aircraft Form must be completed, submitted, and approved prior to ordering the equipment. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager. The Aircraft Form requires:

- A brief, clear description of the area that will be served by the requested equipment;
- A description of the equipment, quantities, and AEL numbers;
- A justification of need and how this purchase compares to other options;
- Identification of the applicable goals and objectives in the Bay Area UASI Strategy;
- How this equipment fits into the State Urban Area's integrated operational plans;
- An explanation of the types of terrorism incident response and prevention equipment included
- A description of how the aircraft will be used operationally;
- A description of the use of the aircraft on a regular, non-emergency basis; and
- A signed letter on agency letterhead certifying that an existing aviation unit is operating and will continue to operate independent of the requested funding; including: a description of the active, operating aviation unit and certification that no expenses will be charged against the grant award for the operation of such aviation unit; and certification

that licensing, registration fees, insurance, and all ongoing operational expenses are the agency's responsibility and are not allowable under the grant.

Watercraft Form

If a sub-recipient is purchasing a watercraft or any equipment item that attaches to the watercraft, the Watercraft Form must be completed, submitted, and approved prior to ordering the equipment. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager. The Watercraft Form requires the following elements:

- Brief, clear description of the area that will be served by the requested equipment;
- Description of the equipment, quantities, and AEL numbers;
- Justification of need and how this purchase compares to other options;
- A description of the active, operating waterway patrol unit;
- Identification of the applicable goals and objectives in the Bay Area UASI Strategy;
- How this equipment fits into the State/Urban Area's integrated operational plans;
- How the waterway has been identified as a critical asset requiring state and/or local prevention and response capabilities;
- How the requested watercraft fits into the State/Urban Area's integrated operational plans and vulnerability assessment;
- Types of terrorism incident response and prevention equipment (including any specialized navigational, communications, safety, and operational equipment);
- How the watercraft will be used operationally;
- The use of the watercraft on a regular, non-emergency basis.
- A signed letter on agency letterhead certifying that licensing, registration fees, insurance, and all ongoing operational expenses are the responsibility of the grantee or the local units of government and are not allowable under this grant.

Emergency Operation Center (EOC) Form

If a sub-recipient is establishing or enhancing either its primary EOC or an alternate EOC, the EOC Request Form must be completed, submitted, and approved prior to ordering the equipment. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager. The EOC Form has the following required elements:

- Physical address of the facility;
- How the establishment/enhancement of this EOC improves the organization's ability to prevent, plan for, respond to, and recover from a terrorism event;
- All sources and uses of additional funds that are assisting the project in any way;
- Itemized breakdown of equipment by AEL number and cost; and
- Justification that the costs requested for the EOC are reasonable.

Sole Source Request Form

The Code of Federal Regulations Title 44 (44 CFR) 13.36 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments provides guidance for procurement using federal funds. In the case of sole source procurement, sub-recipient jurisdictions may follow their local requirements for procurement under \$100,000 as long as they do not violate any federal regulation.

However, if a sub-recipient jurisdiction wishes to make a sole source purchase over \$100,000, the Sole Source Request Form must be completed, submitted, and approved prior to expending funds. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager to complete the form. The Sole Source Request Form requires the following elements:

- Brief, clear description of the proposed project or activity to be provided by the sole source vendor/contractor;
- Vendor's contact information;
- A list and description of the equipment as well as the AEL number and the cost if the proposed sole source is for equipment;
- Description of their agency's standard procedures when sole source contracting is considered;
- Why a sole source is needed (i.e., only available from one source, a public urgency or emergency, or only one bid received);
- Assurance that the contractor is not suspended or debarred;
- Guarantee that the funds can be spent prior to the end of the grant performance period; and
- Justification that costs are reasonable.

In addition, the sub-recipient jurisdiction must submit a cost benefit analysis as part of the Sole Source Request Form. This should include specific financial information and analysis that shows the financial benefit of the purchase to the agency. Examples of pertinent information in a cost benefit analysis may include information such as: savings involving personnel and staffing requirements; training cost savings as a result of interoperable equipment; or needing to make multiple purchases to otherwise obtain the same result with the requested item. The cost benefit analysis should not include information that is not pertinent to the financial analysis (i.e. safety benefits to the staff).

C. Performance Bonds

Many sub-recipient jurisdictions are unable to procure large equipment items with homeland security grant funds due to the fact that vendors are frequently unable to deliver such items within the federal grant period. To help address this issue and allow sub-recipients to be able to procure large equipment items with homeland security grant funds, FEMA allows sub-recipients to obtain a "performance bond."

To obtain a performance bond, the sub-recipient jurisdiction pays for the equipment item up front (upon receiving a valid vendor invoice prior to the stipulated delivery date) and receives an assurance from the vendor that the item will be delivered within 90 days of the state's performance period. The performance bond, therefore, acts as an insurance policy for the sub-recipient jurisdiction. Upon payment of the equipment cost and the performance bond, the sub-recipient jurisdiction may seek reimbursement from the Bay Area UASI Management Team, rather than having to wait to seek reimbursement until after the delivery of the equipment.

Per the California State Supplemental Guidance, sub-recipients must obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft, or watercraft financed with homeland security dollars. Sub-recipient project leads should work with their respective Bay Area UASI Project Managers to determine the exact date that must be used in the performance bond. The cost of a Performance Bond is typically 1-3 % of the cost of the item.

D. Travel

If a sub-recipient jurisdiction requests funding for travel, the Bay Area UASI Travel Policies and Procedures Manual is to be followed (See Section VIII of this Manual). Sub-recipient project leads should consult with their Bay Area UASI Project Manager and must provide adequate written justification and documentation. All travel must fall within the intent of the overall travel policy. To be in compliance with the Bay Area UASI Travel policy, all travel requires a written request and approval by the requestor's direct supervisor and the Bay Area UASI General Manager. If the request is for travel for a national association or board, a written request must be submitted to, and approved by, the Bay Area UASI Approval Authority. Lastly, if the request is for travel to a non-continental US destination or for international travel, a written request and approval must be submitted to, and approved by, the Bay Area UASI Approval Authority, the Bay Area UASI General Manager, Cal OES, and FEMA. The international travel process takes over six months and requires extensive documentation.

E. Match

Cost sharing or matching means that a portion of the costs of a federally assisted project or program is borne by the sub-recipient and not by the federal government. In order to meet a cost share or match requirement, sub-recipient jurisdictions must provide either cash or in-kind contributions. In order for matching funds to be eligible, only allocable and allowable costs under the appropriate costs principles and program eligibility requirements are allowed. Further, they must have been expended within the performance period of the award and provide direct support for the program or project for which the funds were awarded. All matching funds must be supported by source documentation and cannot have been included as a cost or used to meet cost share or match requirements for another federal award unless authorized by statute. Lastly, any matching funds must be treated on a consistent basis by the sub-recipient.

F. Grant Extensions

Congressional concerns over unspent federal homeland security grant funds have led to shortened grant performance periods and stricter adherence to grant timelines. FEMA approves extension requests only due to compelling legal, policy, or operational challenges. Such requests are approved infrequently, on a case by case basis, and typically not until the very end of the performance period.

If an extension request is warranted, sub-recipient jurisdictions should first contact their Bay Area UASI Project Manager. If approved at the Bay Area UASI level, a request will be sent by the UASI Management Team to Cal OES for approval. Sub-recipients will be notified of the state's decision when it has been received by the UASI Management Team.

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V. PROCUREMENT

Procurement includes hiring, purchasing of supplies, and soliciting for professional services. The Bay Area UASI Management Team has responsibility for oversight of procurement processes that utilize federal funds received by the Approval Authority. The Grants Management Unit of the Management Team ensures compliance with federal laws, regulations, executive orders, ~~Office of Management and Budget (OMB)~~ circulars, departmental policy, award terms and conditions, and state and local requirements.

When a jurisdiction is the sub-recipient of award funds, the sub-recipient is responsible for procurement processes and should use procurement procedures and regulations from that jurisdiction, provided these procurement procedures and regulations conform to applicable federal law and standards. ~~Working with the Grant Management Unit, the Bay Area UASI Management Team Project Lead is responsible for oversight and support to sub-recipients on procurement processes as needed.~~

In cases when a project does not include sub-recipient funding, all procurement processes are the responsibility of the Bay Area UASI Project Lead/Manager, working in partnership with the Grants Management Unit. ~~Such procurements, and~~ are conducted per the policies and procedures of the City and County of San Francisco as the Bay Area UASI fiscal agent.

A. Types of Agreements

The Bay Area UASI Program, through the Grants Management Unit, administers three types of contracting agreements:

- **Memoranda of Understanding (MOU)** – This is an agreement between the City and County of San Francisco, in its capacity as the fiscal agent for the Bay Area UASI Approval Authority, and a sub-recipient jurisdiction. This document is a requirement when a jurisdiction is a sub-recipient of federal award funds.
- **Letters of Agreement (LOA)** – This is an agreement between the Bay Area UASI, acting by and through the Bay Area UASI Management Team, and another department within the City and County of San Francisco.
- **Professional Services Contracts** – This is an agreement between the City and County of San Francisco and a vendor for services that require advanced specialized knowledge or expertise.

B. Content of the MOU/LOA

MOUs and LOAs consist of the following sections:

- **Boilerplate Agreement**

The boilerplate of an MOU contains the following twelve articles:

- Article 1 – Definitions
- Article 2 – Allocation and Certification of Grant Funds; Limitation on San Francisco's Obligations
- Article 3 – Performance of the Agreement
- Article 4 – Reporting Requirements; Audits
- Article 5 – Representations and Warranties
- Article 6 – Indemnification and General Liability
- Article 7 – Events of Default and Remedies; Termination for Convenience
- Article 8 – Assignments
- Article 9 – Notice and Other Communications
- Article 10 – Miscellaneous
- Article 11 – Insurance
- Article 12 – Compliance

The boilerplate of an LOA contains the following two articles:

- Article 1 – Performance of the Agreement
 - Article 2 – Notices and Other Communications
- **Appendix A** – “Authorized Expenditures and Timelines,” which details information by solution area (Planning, Organization, Equipment purchase, Training, and Exercises-POETE), program description, deliverable due date, and amount. See next section, “C. Appendix A – Authorized Expenditures and Timelines,” for more information on allowable costs and requirements for reimbursement.
 - **Appendix B** – “Grant Assurances,” which outlines compliance requirements and the sub-recipient’s obligations under the grant. Each page of this document must be initialed and signed by an authorized agent. See the template in Section VII.
 - **Appendix C** – “Form of Reimbursement Request,” which must be submitted to the Bay Area UASI Management Team when requesting reimbursement along with Schedule 1 (list of authorized expenditures) and Schedule 2 (grant match documentation, if applicable). See the template in Section VII. Grant match documentation must include all cash appropriations of non-federal funds and all in-kind services (in dollar values) that the sub-recipient intends to use for its grant match. The sub-recipient may not submit a reimbursement request until the Grants Management Unit approves the grant match plan.

C. MOU/LOA Appendix A - Authorized Expenditures and Timelines

All allowable UASI sub-grant award expenditures must fall into one of six solution areas. ~~The solutions areas are:~~ Planning, Organization, Equipment purchase, Training, and Exercise (POETE). The MOU/LOA Appendix A template can be found in Section VII of this manual.

Planning

The MOU/LOA obligations regarding planning include:

- **Personnel** – Prior to any sub-recipient expenditures for personnel, sub-recipients must submit completed job descriptions to the ~~Bay Area UASI Management Team Project Lead-Manager~~ detailing the planning activities the personnel will complete and the deliverables that will be produced. Prior to reimbursement, the sub-recipient must submit the following: all functional time sheets or allocation plans, payroll documentation or cancelled checks showing payment of salaries and benefits, and work product or certification that work was completed.
- **Contracts** – ~~All contracts must be pre-approved by the Bay Area UASI General Manager or designee and Grants Management Unit prior to execution.~~ All contracts must comply with the contracting laws and best practices of their jurisdictions, ~~and sub-recipients are required to provide the Grants Management Unit a copy of their procurement policies for review.~~ See “Approval of Vendor Solicitations and Contracts” under “C. Planning” in Section III on the project cycle above for more information on criteria that ~~must should~~ be met and Section IV (Sole Source Request Form) as appropriate. ~~for contracts to be approved.~~
- **Travel** – Travel for planning activities must be pre-approved by the ~~Bay Area UASI~~ General Manager or designee prior to scheduling, per the Bay Area UASI Travel Policy (see Appendix B) and Section IV (Travel) above. Invoices must include all backup documentation, including conference agendas, programs, brochures, lodging receipts, per diem calculations, airfare receipts/boarding passes, mileage calculations, and proof of payment.

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Organization

Eligible organization expenses that must be documented in the MOU/LOA include:

- Responding to an increase in the threat level under the Homeland Security Advisory System, ~~System~~ or needs resulting from a National Special Security Event;
- Establishing, enhancing, and staffing State and Major Urban Area fusion Centers;

- Paying salaries and benefits for personnel to serve as qualified intelligence Analysts; and
- Paying related Overtime and Operational Overtime costs.

Equipment

The MOU/LOA obligations for equipment include:

- As allowable under federal guidelines, procurement of equipment must follow local policies and procedures for competitive purchasing.
- At a minimum, more than one quote or bid must be obtained, unless a sole source is justified (see Section IV- Sole Source Request Form- above). If sole source approval is needed because the amount exceeds \$100,000, the sub-recipient Project Lead the sub-recipient project lead must transmit the request to the Grants Management Unit Project Manager for submission request to the State. Such approval must be received prior to the purchase of the equipment.
- EHP approval, if required (see Section IV- EHP Form- above). If not previously identified, such a requirement will be conveyed by the Project Manager to the sub-recipient Project Lead the sub-recipient project lead during the project planning stage. When such an approval is required, the Project Manager will work with the sub-recipient jurisdiction Project Lead to complete the form.
- A performance bond for any aircraft, watercraft, or vehicle as well as any individual equipment item in excess of \$250,000 is required.
- Prior to reimbursement, the sub-recipient must submit to the Grants Management Unit all invoices, Authorized Equipment List (AEL) numbers, EHP or Sole Source approval letters, and a list of all equipment identification numbers and the deployed locations.
- A performance bond for any aircraft, water craft, or vehicle as well as any individual equipment item in excess of \$250,000.
- FEMA Environmental and Historic Preservation (EHP) approval, if required. Such a requirement will be conveyed by the Bay Area UASI Management Team Project Lead Manager to the sub-recipient during the project identification planning stage, if not already identified. When such an approval is required, the Bay Area UASI Project Manager will work with the sub-recipient jurisdiction to submit a FEMA Environmental and Historic Preservation Screening Memo (EHPSM).

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Training

The MOU/LOA obligations for training include:

- All training courses must be pre-approved by the California Emergency Management Agency California Office of Emergency Services (Cal EMACal OES. If the training should be field-based,) and require an approved FEMA Environmental and Historic Preservation Screening Memo (EHP approval is requiredSM) (see Section IV- EHP Form- above) if such training is conducted in the field,
- All expenses must be pre-approved by the Bay Area UASI Management Team Project Lead Manager prior to scheduling.
- Training course expenses may include backfill/overtime, travel, tuition, per diem or other grant eligible expenses.
- When seeking reimbursement for grant eligible expenses, the sub-recipient must submit the following:
 - Completed financial management workbook training ledger page indicating course title, feedback number, and sub category (e.g., overtime, backfill, course development);
 - Copy of the approved EHP approval letter (as applicable);
 - Registration receipts and agendas; and
 - Copies of participant sign in sheets and certificate of completion with supervisor's signature.

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Exercise

The MOU/LOA obligations for exercise include:

- All field-based exercises and associated sites require an approved FEMA Environmental and Historic Preservation Screening Memo (EHPSM) EHP approval.
- All expenses must be pre-approved by the Bay Area UASI Management Team Project Lead Manager prior to scheduling.
- Exercise expenses may include backfill/overtime, travel, tuition, per diem or other grant eligible expenses.
- When seeking reimbursement for grant eligible expenses, sub-recipients must submit the following:
 - Completed financial management workbook exercise ledger page indicating exercise title and sub category (e.g., overtime, backfill, course development);

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- Copy of EHP approval letter (as applicable);
- Copy of After Action Report (due to Cal EMA/Cal OES no later than 60 days after the exercise; and
- Copies of participant sign in sheets with supervisor's signature.

D. Executing the MOU/LOA

It takes approximately two-three months for an MOU/LOA to be drafted and approved, but this can be longer depending on the workload of the participating parties, and the complexity of the work document, and especially the length of time it takes to get the agreement calendared for approval at local boards and city councils. The following is a sample process and timeline for MOU/LOA agreements. This applies both to MOUs/LOAs drafted for the first time as well as modifications to existing agreements.

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1. **Drafting of Appendix A** – The Bay Area UASI Management Team Project Lead drafts the Appendix A of the agreement in close cooperation with both the sub-recipient jurisdiction (MOU) or City and County of San Francisco Department (LOA), and with assistance as needed from the Grants Management Unit (as needed) – (5 working days).
2. **Grants Management Unit Review** – The Grants Management Unit reviews and approves the Appendix A from a compliance perspective as well as compiles required documentation for the agreement, such as the boilerplate language and other appendices – (5 working days).
3. **City Attorney Review** – Once approved by the Grants Management Unit, the Grants Management Unit forwards the agreement to the City and County of San Francisco City Attorney for review – (10 working days).
4. **Sub-recipient Signature** – Once approved by the City Attorney, the Grants Management Unit PDFs the document and sends it to the sub-recipient jurisdiction/City department for signature. Typically, jurisdictions will calendar the MOU for approval at a board or city council meeting, which can take several weeks – (45-30 working days).
5. **City Attorney Signature** – Once two (2) original MOUs, signed by the sub-recipient are returned, the Grants Management Unit sends the documents to the City and County of San Francisco City Attorney for signature – (5 working days).
6. **DEM Signature** – Once signed by the City Attorney, the Grants Management Unit sends the agreement to the Director of the City and County of San Francisco Department of Emergency Management (DEM) for signature – (5 working days).

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7. **Final Project Approval** – The agreement is now finalized, and projects may now be reimbursed for expenses incurred during the time period specified in the MOU agreement. Projects may not begin implementation until all relevant MOU/LOA documents and the project plan is finalized, and project approval is provided by the General Manager and/or the Approval Authority. See “Final Project Green Light” under “C. Planning” in Section III on the project cycle above.

E. Modifications to the MOU/LOA

Sub-recipients should immediately notify the Bay Area UASI Project Manager in the event they may not be able to meet their deliverable due dates and specifications as approved in their MOU document. Sub-recipient jurisdictions must request changes to project timeline, scope, and budget via the Project Change Request Form (see “Change Management” under “Execution” in Section III above). When such changes are approved and effect the final end date or overall amount of funding included in the MOU, the MOU must go through a formal amendment process, detailed in the section above. In all other instances of changes to the MOU, an approved Project Change Request Form will generate a Modification Notice detailing the approved revisions in the MOU, which must be signed by the General Manager or designee, City and County of San Francisco City Attorney, and the relevant sub-recipient jurisdiction to indicate agreement to the adjustment/revisions.

make requests for budget, programmatic, and/or administrative changes to MOUs/LOAs to the Bay Area UASI Management Team Project Lead. In particular, sub-recipients should immediately notify the Project Lead in the event they may not be able to meet their deliverable due dates and specifications as approved in their MOU/LOA document. Sub-recipients are encouraged to request modifications early in order to facilitate timely performance and close-out of the grant. A request for an extension of the performance period should be made at least 90 calendar days before the end date of the performance period if not sooner. Per the timeline above, an MOU modification request takes roughly two-three months to process and could take more longer depending on the workload of applicable parties, and the complexity of the work document, and the proposed changes, and length of time needed to calendar the approval before local boards and city councils. Sub-recipients should not expend funds until the MOU/LOA agreement has been formally updated and signed.

F. Cal OES Assurances and Certifications

The Project Lead is ultimately responsible for all project change management, including updates to MOU/LOA agreements. The Project Lead must make requests for changes to the Bay Area UASI General Manager during regular portfolio reporting meetings and gain approval for such changes. The General Manager reports to the Advisory Group and Approval Authority on any modifications to MOUs/LOAs for projects with budgets above \$250,000. In addition, budget modifications in excess of \$250,000 must be approved in advance by the Advisory Group and Approval Authority, and also require approval from the California Emergency Management Agency (Cal EMA). See information on change management and modifications under "D. Execution" in Section III on the project cycle above for more information.

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F. Assurances and Certifications

The California Emergency Management Agency/California Office of Emergency Services (Cal EMACal OES) is required by law to obtain written certification of compliance. It requires the Bay Area UASI to submit the Certification of Assurance of Compliance Form. This form is a binding affirmation to comply with:

- State and federal civil rights laws;
- Drug Free Workplace Program;
- California Environmental Quality Act;
- Federal grant fund requirements;
- Lobbying restrictions;
- Debarment/suspension requirements; and
- Proof of Authority from the city council/governing board.

Similarly, the Bay Area UASI Management Team requires sub-recipient jurisdictions to sign grant assurances for the items listed above and other statements as outlined in the Appendix B (Grant Assurances) of the MOU/LOA. See template in Section VII.

G. San Francisco Procurement Process for Professional Services Contracts

In cases in which a project does not include sub-recipient funding, all procurement processes are the responsibility of the Bay Area UASI Management Team Project Lead/Manager, working in

partnership with the Grants Management Unit. In such instances, procurement is conducted per according to the policies and procedures of the City and County of San Francisco as the Bay Area UASI fiscal agent. The procurement policies and procedures of the City and County of San Francisco must also be followed when the sub-recipient of a grant award is the City and County of San Francisco.

These general rules apply under San Francisco's procurement process for professional services contracts:

- Contract amount of \$0 - \$10,000 - No solicitation is required. However, grant guidelines require some type of comparative pricing.
- Contract amount over \$10,000 but less than \$100,000 - Informal solicitation required. The Project Lead/Manager must informally solicit for bids. Ideally, at least three bids should be collected and evaluated by the Project Lead/Manager.
- Contract amount of \$100,000 or more - Formal solicitation is required. The Project Lead/Manager must follow the rules and procedures of a formal solicitation process as described next.

In addition/Additionally, in cases in which a project is following San Francisco procurement policies and procedures, when and a contract amount is \$50,000 or more, the Bay Area UASI Management Team must seek review and approval from the San Francisco Civil Service Commission.

There are two main instruments used in the procurement of professional service contracts:

- RFP (Request for Proposals) - An RFP process evaluates specific proposals that perform a specific service. The highest scoring proposal wins the opportunity to negotiate a contract.
- RFQ (Request for Qualifications) - An RFQ evaluates qualifications (e.g., resumes, references, etc.) to establish whether proposers are qualified to perform the requested services and establishes such qualifications for a limited duration of limited to two years. During this time, the City and County of San Francisco may enter into contract negotiations with any qualified firm for services specified within the original RFQ.

The Bay Area UASI Management Team, on behalf of the City and County of San Francisco, will advertise the RFP/RFQ opportunity on the San Francisco Office of Contract Administration website (http://mission.sfgov.org/OCABidPublication/) and the Bay Area UASI website, and once the proposals are submission deadline has occurred, the Management Team will convene a panel review and rank panel comprised of regional subject matter experts to evaluate and vet the proposals. The panel will choose the best respondent and then the Project Lead/Manager will lead negotiations with the winning respondent to develop the professional services contract. See "Approval of Vendor Solicitations and Contracts" under "C. Planning" in Section

Forma
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III on the project cycle above for details on requirements that must be met in the solicitation, selection, and negotiation/contract stage of contract development.

All vendors who do business with the City and County of San Francisco must also obtain a vendor number, submit a federal W-9 form, and provide a San Francisco P-25 Business Tax Declaration. They must also meet the City's Equal Benefits Ordinance, Minimum Compensation Ordinance, and Healthcare Accountability Ordinance.

In the City and County of San Francisco, a sole source request ~~can~~ must be made to the Office of Contract Administration/Purchaser's Office if any of the following apply:

- The commodity or service is only available from one source;
- There is only one vendor willing to enter into a contract with San Francisco;
- The item has design and/or performance features that are unique and essential to San Francisco's needs; and/or
- The product is a licensed or patented good or service that limits its availability.

An approval from the State Cal OES is also required for sole source processes using federal funds administered by the Bay Area UASI in amounts over \$100,000.

H. Federal Procurement Guidelines

When a jurisdiction is the sub-recipient of award funds, the sub-recipient is responsible for procurement processes and ~~should~~ may use their own procurement procedures and regulations, provided these conform to applicable federal law and standards. Sub-recipient jurisdictions are responsible for reviewing Title 44 on Emergency Management and Assistance in the Code of Federal Regulations (CFR) to confirm consistency.

Section 13.36 of Title 44 highlights the following due diligence requirements when procuring commodities/services with federal funds:

- Conduct rReasonable cost/price analysis must be conducted;
- Encourages the use of federal excess and surplus property;
- Reach out to Minority/Women Enterprise;
- No geographical preference allowed;
- Maintain full and open competition;
- Do not preclude vendors or conduct restrictive competition;
- Maintain written code of contracting standards;
- Include pProcesses for hearing protests and disputes;
- No conflict of interest in selection process; and
- Maintain records to detail the history of procurement.

Section 13.36 also identifies four different types of procurement processes:

- 1) Procurement by small purchase procedures ~~are~~ is a relatively simple and informal procurement methods for securing services, supplies, or other property that ~~doesn't~~ net-cost more than \$100,000.
- 2) Procurement by sealed bids ~~are~~ is when bids are publicly solicited and awarded to the responsible bidder whose bid, conforming ~~with~~ to all the material terms and conditions of the invitation for bids, is the lowest in prices.
- 3) ~~Procurement by competitive proposals involves a method for evaluating all proposals and awarding to the firm whose proposal is most advantageous to the program, with~~ when price and other factors are considered.
- 4) ~~Procurement by non-competitive proposals (sole source) may be used when the item is only available from a single source, is a public emergency, the grantor authorizes a noncompetitive process, or, after solicitation from a number of sources, competition is determined inadequate.~~

Form

VI. FINANCIAL MANAGEMENT

The City and County of San Francisco serves as the fiscal agent for the Bay Area UASI—A through a resolution, passed by the Board of Supervisors of the City and County of San Francisco, recognizing this role as fiduciary role. San Francisco's Board of Supervisors is responsible for approving the formal "accept and spend/pend" processes for the grants managed under the UASI governance structure. This role allows the Bay Area UASI Management Team, functioning as a separate arm of the San Francisco Department of Emergency Management, to execute projects with the upfront financial support of the City and County of San Francisco with reimbursement coming back to the City and County. The San Francisco Controller's Office, City Attorney's Office, and Office of Contracts Administration provide fiscal, legal, and contract program support to the Bay Area UASI.

The Bay Area UASI Management Team's Grants Management Unit has responsibility for financial management of federal funds received by the Approval Authority. The Grants Management Unit is responsible for the administration of federal grant awards to ensure compliance with federal laws, regulations, executive orders, OMBOMB circulars, departmental policy, award terms and conditions, and state and local requirements. The Grants Management Unit must also make certain all activities carried out under the Bay Area UASI grant program are reasonable and allowable, and maintain complete and accurate records of all program activities.

A. Grant Award

A grant award letter, when signed by the Director or designee of the California Emergency Management Agency California Office of Emergency Services (Cal-EMACal OES), becomes a "Grant Award" which contains the terms and conditions of the grant. The Grant Award Letter is an agreement between Cal-EMACal OES and the Bay Area UASI. All projects funded from the Grant Award must conform to the agreement as specified. Failure to do so may result in the withholding or disallowance of grant payments on current or future Cal-EMACal OES grants, the reduction or termination of the Grant Award, and/or the denial of future Grant Awards. The Bay Area UASI must comply with all applicable federal/state laws and regulations.

B. Post-Award

As a condition of accepting federal funding, the Bay Area UASI is required to maintain an accounting system and financial records to accurately account for awarded funds. These records include both federal funds and all appropriate matching funds. The Bay Area UASI Management Team, through its Grants Management Unit, is responsible for all aspects of this, including proper accounting and financial recordkeeping by all sub-recipients. Responsibilities include: the accounting of receipts and expenditures, cash management, maintenance of adequate financial records, and refunding expenditures disallowed by audits.

Accounting Responsibilities

The Bay Area UASI Grants Management Unit and sub-recipient jurisdictions have the following accounting responsibilities:

- **Reviewing Financial Operations** – The Grants Management Unit must be familiar with, and periodically monitor, its sub-recipients' financial operations, records, systems, and procedures. Particular attention is directed to the maintenance of current financial data.
- **Recording Financial Activities** – The Grants Management Unit and sub-recipients must record in summary form the sub-recipient's award or contractual obligation as well as cash advances and other financial activities. Sub-recipients should record expenditures or evidence them by report forms duly filed to the Grants Management Unit. Non-federal contributions applied to programs or projects by sub-recipients should likewise be recorded by sub-recipients, as should any program income resulting from program operations. All financial records must validate expenditures related to the respective sub-recipient grant(s).
- **Budgeting and Budget Review** – The Grants Management Unit must ensure that each sub-recipient prepares an adequate budget on which its award commitment will be based. The detail of each project budget should be maintained on file by both the sub-recipient and the Grants Management Unit.
- **Accounting for Non-federal Contributions** – The Grants Management Unit and sub-recipients must ensure that the requirements, limitations, and regulations pertinent to non-federal contributions are applied.
- **Audit Requirements** – The Grants Management Unit must ensure that sub-recipients have met necessary audit requirements.
- **Reporting Irregularities** – Sub-recipients must promptly notify the Bay Area UASI Management Team, who in turn will notify the state and the federal cognizant audit agency, of any illegal acts or irregularities and of proposed and actual actions, if any.

Illegal acts and irregularities include conflicts of interest, falsification of records or reports, and misappropriation of funds or other assets. Should the Bay Area UASI Management Team become aware of any criminal activity related to federal assistance, these criminal acts should be reported to the appropriate law enforcement agency. Please see the fraud policy included in Section II of this Manual for more information.

- **Debarred and Suspended Organizations** – The Bay Area UASI and its sub-recipients must not award or permit any award at any level to any party that is debarred or suspended from participation in federal assistance programs.
- **Bonding** – The Bay Area UASI may require adequate fidelity bond coverage where the sub-recipient lacks sufficient coverage to protect the federal government interest (see OMB Circular A-110, Subpart C, paragraph 21© and OMB Circular A-122).

Grant Accept and Expend

For grants that are not included in the City and County of San Francisco's Annual Appropriation Ordinance (AAO) or gifts in amounts of \$100,000 or greater, special grant accept and expend processes must be followed in order to obtain spending authority from the San Francisco Board of Supervisors. In such circumstances, the Bay Area UASI must submit an Accept and Expend Resolution. Legislation in the form of an ordinance amending the San Francisco Annual Salary Ordinance (ASO) must be submitted if new positions are being created.

Financial System and Structure

The City and County of San Francisco's Financial Accounting and Management Information System (FAMIS) provides an accounting and internal administrative control system for Bay Area UASI funds. It includes a general ledger accounting structure, subsidiary accounting records, and procedures that define how, and by whom, the funds are handled. Accounting records identify the receipt and the expenditure of all ~~California Emergency Management Agency~~ California Office of Emergency Services (Cal EMA/Cal OES) funds. The system also conforms to Generally Accepted Accounting Principles (GAAP), provides a record of the amount and disposition of all project funds, shows receipt of funds and expenditures by source (e.g., federal, state, or local), and separately identifies match funds and related expenditures.

Budgetary Controls

The Bay Area UASI Management Team utilizes the budgetary control features found in FAMIS ~~(the City and County of San Francisco's accounting system of record)~~ to facilitate analysis of the budget and to ensure that separate tracking and reporting are properly performed. The system also allows accurate accounting of funds by project, sub-recipients, and categories/solution areas. These categories/solution areas are: Planning, Organization, Equipment purchase, Training, Exercises, ~~(POETE)~~, and Management and Administration.

Obligation of Funds (Encumbrance)

Obligations (encumbrances) are a legal liability to pay, under a grant and/or contract, determinable sums for services or goods incurred during a period of performance. An encumbrance occurs when funds are set aside to pay for a particular expense. This includes, but is not limited to, ~~amounts of orders~~ placed, contracts and grants awarded, services received, and similar transactions that require payment during the same or a future period. The Bay Area UASI Grants Management Unit enters these into the FAMIS accounting system based on documents such as approved service contracts, Memoranda of Understanding (MOU), Letters of Agreement (LOA), or requisitions for supplies and services.

Once an encumbrance is made in the FAMIS system, the funds are committed to a specific use and are no longer available for other expenditures. However, since the goods or services have not yet been received, legally, the project does not yet owe anything to the vendor or supplier.

An encumbrance is defined by the following three characteristics:

- The expenditure is approved in the original MOU/LOA budget or a subsequent sub-grant award modification;
- A formal written order or request (i.e., requisition) is approved by the Bay Area UASI Management Team prior to the end of the grant period; and
- A purchase order/contract has been submitted to the vendor or supplier of goods or services.

Expenditure of Funds

The Bay Area UASI Grants Management Unit must make certain all activities carried out under the Bay Area UASI grant program are reasonable and allowable. All allowable UASI grant expenditures fall into one of six categories/solution areas, must support the eight National Priorities and the Bay Area and State homeland security strategies, as well as enhance regional capabilities. Typically, the Bay Area UASI Management Team has 90 days after the end of the award period ~~MOU/LOA terms~~ to liquidate obligated funds.

To be allowable, costs must meet the following general criteria:

- Be necessary and reasonable for proper and efficient performance and administration of the sub-grant award;
- Be allocable under federal and/or state provisions;
- Be authorized or not prohibited under federal, state or local laws or regulations;
- Conform to any limitations or exclusions set forth in applicable federal cost principles, federal laws, terms and conditions of the award, or other governing regulations as to types or amounts of cost items;
- Be consistent with policies, regulations, and procedures that apply uniformly to both federal awards and other activities of the governmental unit;
- Be accorded consistent treatment;

- Be determined in accordance with Generally Accepted Accounting Principles (GAAP);
- Not be included as a cost or used to meet cost sharing or matching requirements of any other federal award in either the current or a prior period, except as specifically provided by federal law or regulation;
- Be the net of all applicable credits; and
- Be adequately documented.

Personnel Costs and Functional Timesheets

Salaries and benefits of personnel involved in more than one sub-recipient grant award ~~project~~ ~~grant project~~ must be charged to each based on the actual percentage of time spent. The annualized actual percentage charged for a particular position (e.g., Exercises Director) cannot exceed the annual percentage approved in the award ~~stated in the MOU~~. Similarly, the dollar amount charged for a particular position also must not exceed the approved dollar amount in the ~~approved award MOU~~ or any subsequent award modifications.

Functional timesheets ~~or an allocation plan~~ must be maintained which support the time charged to grants. All grant-funded personnel must maintain time cards/sheets that indicate, on a daily basis, the actual time worked on each project and account for all the time worked by the employee during the pay period. Time cards/sheets must be signed by the employee and their supervisor ~~on a monthly basis~~. An allocation plan may also be used to allocate salaries and benefits for individuals who work on more than one project/sub-recipient grant.

Reimbursement

The UASI grant program is a reimbursement-based grant, meaning the grantee (State), sub-grantee (Bay Area UASI), and sub-recipient (~~regional and~~ local jurisdictions) must first expend their funds prior to seeking reimbursement. The sub-recipient will first expend their local general funds to pay for pre-approved and allowable UASI grants program expenses and then submit a request for reimbursement ~~from to~~ the Bay Area UASI Grants Management Unit. ~~The Grants Management Unit reimburses the~~ ~~Once the sub-recipients have been paid, the Grants Management Unit will and then may~~ seek reimbursement from ~~the California Emergency Management Agency~~ ~~California Office of Emergency Services (Cal EMAC)~~ ~~OES~~.

The Grants Management Unit will reimburse sub-recipients within 30 business days as long as supporting documentation is complete and compliant. Partial reimbursements will be remitted if for supporting documentation is ~~not~~ that is sufficient. The sub-recipient must submit requested supporting documentation within 45 business days of the final deadline for claims. The sub-recipient will not be reimbursed ~~if~~ if the documentation is not submitted within this period. Sub-recipients are encouraged to submit claims when significant milestones are met and/or project completion areis accomplished in advance of the deadlines (subject to the documentation requirements). ~~the sub-recipient may not be reimbursed. See Section V above on authorized expenditures and timelines for details on documentation that sub-recipients must submit with their claims for reimbursement. See also Section VII for a reimbursement template for sub-~~

recipients. Although reimbursement requirements vary by grant source, generally, the following documentation is required of sub-recipients for a claim to be accepted and processed:

- Invoice from sub-recipient which summarizes expenses by solution area. Forma
- Copies of all invoices received and paid by sub-recipient. Forma
- Copies of all payments made by sub-recipient (canceled checks issued, electronic payment). Forma
- Copies of all requisitions and purchase orders. Forma
- A list of the serial number or local ID tag numbers for all equipment items and their deployed location. Forma
- *For personnel costs*—copies of payroll records verifying hourly rate, overtime/backfill rate, and benefits. All hours worked and charged to the sub-recipient grant award must be recorded on a functional timesheet. In addition, sample work product must be submitted with each request for reimbursement. Forma
- *For training expenses*—copies of certificate of completion or class roster signed by the instructor to verify attendance and copies of all receipts for tuition, travel, lodging, and per diem expenses. Forma
- *For exercise expenses*—copies of the After Action Report (AAR) and verification that it was posted on the portal within 60 days of the exercise, if applicable. Forma
- *If applicable*—copies of quotes, proposals, contracts and contract amendments, procurement history, deliverables, and photographs of equipment with serial numbers pre and post installation. Forma
- Final reimbursement requests must be accompanied by the work product developed using the funds. Forma

See Section VI for a reimbursement template for sub-recipients.

Reporting

Reporting requirements must be met throughout the life of all sub-grant awards. The California Emergency Management Agency California Office of Emergency Services (Cal EMACal OES) utilizes grant tools such as the Financial Management Forms Workbook (FMFW) (FMFW) and Biannual Strategy Implementation Reports (BSIR) to accomplish reimbursement requests and other reporting requirements from the Bay Area UASI.

The Financial Management Form Workbook FMFW is a living document used for different grant programs as a resource for completing the Grants Reporting Tool required by the Federal Emergency Management Agency (FEMA). It also serves as a tool for the Bay Area UASI Management Team's portfolio analysis and tracking. This form consists of equipment inventory and organization, training, planning, exercise, and match rosters.

The Bay Area UASI is responsible for providing updated obligation and expenditure information on a semi-annual basis to Cal EMACal OES for the Semi Annual Progress Report, or SAPR. Cal OES, as the applicable State Administrative Agents (SAAs), is responsible for completing and submitting the final BSIR reports which are a component of the SAPR. The BSIR submission satisfies the narrative requirement of the SAPR. The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). The Bay Area UASI Grants Management Unit must provide updated obligations and expenditure information with the BSIR to show progress made toward meeting strategic goals and objectives. Failure to submit a single BSIR report may result in a notification letter of delinquency to the San Francisco Board of Supervisors and the possible reduction of future funding awards by 10%. Additionally, the UASI risks having a hold placed on pending reimbursements.

Grants Reconciliation

Reconciliation is the process of bringing invoices, reports, and cash requests into balance with revenue and expenditure as of a particular period of time in FAMIS (the City and County of San Francisco's accounting system of record). The Bay Area UASI Grants Management Unit staff performs procedures that verify balances and transactions in FAMIS against supporting documentation such as vouchers, invoices, payroll records, etc. to comply with grant fiscal requirements. In addition to reviewing the Financial Management Forms Workbook and analyzing grant budgets, grants staff is also responsible for:

- Quarterly reconciliation of grants and responding to inquiries from the City and County of San Francisco Controller's Office; and
- Annual reconciliation of federal expenditures by Catalog of Federal Domestic Assistance CFDA (Catalog of Federal Domestic Assistance CFDA) number in compliance with Single Audit requirements.

Audit

~~Each year~~ The Controller's Office of the City and County of San Francisco is responsible ~~infor~~ producing ~~e~~ conducts an annual Single Audit Report by an independent CPA firm in which ~~select~~ major UASI sub-grant awards are ~~audited by an independent CPA firm~~ reviewed. This is in accordance with the requirements for auditors established by the ~~Federal Office of Management and Budget (OMB) Circular A-133~~, to safeguard ~~California Emergency Management Agency~~ California Office of Emergency Services (Cal-EMACal OES) assets, and to ensure accounting for all grant funds. The Management Team is required to forward a copy of the audit report to ~~Cal-EMACal OES~~ within nine months after the fiscal year of the grant ending date. All sub-recipients of UASI sub-grant awards must maintain appropriate records to document grant compliance and are subject to audit by representatives of ~~Cal-EMACal OES~~, the State of California, and the United States Government.

C. Sub-recipient Financial Monitoring

A key component of post award financial management is sub-recipient monitoring. The Bay Area UASI Grants Management Unit is responsible for monitoring sub-recipients ~~on an annual basis~~ to determine:

- Effectiveness and efficiency of operations;
- Reliability of reporting and recordkeeping; and
- Compliance level.

The Grants Management Unit utilizes both desk-based reviews and annual on-site visits to monitor sub-recipients. Monitoring involves review and analysis of financial, programmatic, performance and administrative issues relative to sub-grant awards, and identifies areas where technical assistance and other support may be needed.

Desk-based

The Grants Management Unit reviews all transactions through a desk review prior to processing reimbursement requests to ensure compliance with federal regulations and the terms and conditions of the ~~Memoranda of Understanding (MOU)~~ with sub-recipient jurisdictions. Desk-based financial monitoring can result in the identification of exceptions and potential issues related to a sub-recipient's administration of grant funds. Examples of potential issues include financial reporting anomalies, inaccurate expenditure reporting, or a misunderstanding of or non-compliance with federal cash management requirements. Desk reviews provide high-level assurance for grants financial monitoring in which the Grants Management Unit can centrally collect and analyze information to assess a sub-recipient's capacity to manage federal funds.

On-site

The Bay Area UASI Grants Management Unit conducts site visits ~~visits~~ ~~led by grants managers,~~ ~~in~~ ~~sometimes~~ in conjunction with Management Team ~~project~~ ~~Project leads~~ ~~Managers~~. The purpose of these visits is to assess the sub-recipient's capability, performance, and compliance in regards to the applicable elements that make up each sub-recipient grant. This includes administrative regulations and public policy requirements, as well as terms and conditions contained in the MOU with recipient jurisdictions. The goal of on-site financial monitoring activities is to ensure that sub-recipients possess adequate policies, processes, and systems to manage federal grant awards and to guard against fraud, waste, or mismanagement of funds. On-site financial monitoring activities involve collecting and analyzing information on the business functions and grant administration practices of the sub-recipients, including verification of equipment purchased with grant funds. Through these reviews, the Grants Management Unit assesses the sub-recipients' capacity to administer grants in compliance with federal regulations and evaluate sub-recipient performance in grant administration areas. Please see the Financial Monitoring Checklist in Section VII below.

Sub-recipient Responsibilities

In terms of sub-recipient financial monitoring, sub-recipient responsibilities include carrying out all terms and conditions of their MOU and maintaining complete and accurate records of all program activities. These records must be made available to the Bay Area UASI Management Team for monitoring purposes. The sub-recipient jurisdiction is also responsible for cooperating ~~in~~ ~~with~~ monitoring processes, including resolving any monitoring findings (i.e., findings of non-performance or non-compliance) in a timely manner by a corrective action plan and/or technical assistance in association with Grants Management Unit staff.

Steps in the On-Site Financial Monitoring Review

To assist the sub-recipient in preparing for the monitoring visit, the Grants Management Unit provides ~~to~~ the sub-recipient jurisdiction with a list of documents that will be reviewed, a description of the process, and the standards to which they must comply.

There are seven steps to an on-site financial monitoring review:

- 1) ***Pre-visit Notification Letter*** – The Grants Management Unit begins the monitoring process by emailing the sub-recipient jurisdiction a formal pre-visit notification letter informing ~~them~~ ~~sub-recipient~~ when the monitoring visit will take place, and the length of it which is (usually ~~done over~~ a period of one to four days depending on the period(s) being monitored). The pre-visit letter explains the purpose of the visit, the process that will take place during the visit, and includes a document request list highlighting items that the sub-recipient must have available ~~for the Grants Manager~~ at the start of the visit. The letter also includes the name and contact information for the Grants Manager(s) who will conduct the monitoring.

- 2) **Field Document** – The Grants Manager emails the sub-recipient a field document at least four weeks prior to the monitoring visit. This field document reflects the scope of the monitoring review and guides the Grants Manager in deeming the level of compliance.
- 3) **Entrance Conference** – The Grants Manager conducts an entrance conference at the beginning of the monitoring visit with the Authorized Agent or other top official of the organization to make sure the sub-recipient has a clear understanding of the purpose, scope, and schedule of the monitoring.
- 4) **Documentation Review and Data Analysis** – The Grants Manager keeps a record of the information reviewed and conversations held with the sub-recipient during the monitoring visit. The documentation reviewed and obtained serves as the basis for conclusions drawn from the visit.
- 5) **Exit Conference** – The Grants Manager meets again with key representatives of the sub-recipient at the conclusion of the monitoring visit to:
 - Present preliminary results of the monitoring visit;
 - Provide an opportunity for the sub-recipient to secure any additional, requested documentation;
 - Explain the Monitoring Report, which may include areas of non-compliance or non-performance noted during the visit; and
 - Explain the corrective action plan process or provide technical assistance (if applicable).
- 6) **Monitoring Report** – Within four to six weeks after the monitoring visit, the Grants Manager provides the sub-recipient with a formal narrative report of the results of the monitoring review. The Monitoring Report creates a permanent record of what was found during the review. It points out areas for improvement as well as recognizes successes. In addition, the letter outlines any findings of non-compliance identified during the visit and the corrective action required to be in compliance.
- 7) **Corrective Action Plan** – If the Monitoring Report notes findings and corrective action requirements, the sub-recipient must provide to the Grants Management Unit a detailed corrective action plan within 180-30 days of the date of the Monitoring Report. The Plan must detail the corrective action steps the sub-recipient has undertaken, or will undertake, in addressing the noted areas of non-compliance or non-performance. If additional time is needed, a request for an extension must be submitted in writing 15 business days prior to the end of the 180-30 day period and approved by the Grants Manager.

Forma

D. Grant Closeout

The Grants Management Unit will work with sub-recipient jurisdictions and the Management Team Project Lead-Managers to make sure grant closeout is timely and complete. From a financial management perspective, the closeout of a grant is the process by which the Cal OES notifies the Bay Area UASI that all applicable administrative actions and all required work of the grant have been completed through a grant closeout letter. Once the close out process is achieved, revenues must match expenditures, and all general ledger accounts must be cleared in FAMIS, the City and County of San Francisco's budget and accounting system. The closeout of a grant is the process by which the California Emergency Management Agency/California Office of Emergency Services (Cal EMA/Cal OES) determines that all applicable administrative actions and all required work of the grant have been completed by the Bay Area UASI. Once the close out process is achieved, revenues should match expenditures and all general ledger accounts should be cleared in FAMIS, the City and County of San Francisco budget and accounting system. Sub-recipient jurisdictions are required to retain all documentation related to project implementation and expenses reimbursed under the Bay Area UASI for a period of three years after the close of the grant. This retention period commences upon state notification of the final close out of the grant.



To: Bay Area UASI Approval Authority

From: Dennis Houghtelling, Commander
Bay Area UASI Regional Training & Exercise Project Manager

Date: October 10, 2013

RE: Item # 10: 2013 Urban Shield 2013 Status Report

Staff Recommendations:

No Recommendation.

Action or Discussion Items:

Discussion Only

Discussion/Description:

2013 URBAN SHIELD-STATUS REPORT:

This presentation is being provided as an update for the UASI Approval Authority regarding the status of the 2013 Urban Shield full scale exercise. The report highlights the background and history of Urban Shield, the overarching goals for 2013, a brief overview of the multi-disciplinary scenarios being provided this year, and an examination of the regional partners involved in the development of the exercise. The report will also include a brief explanation of the inclusion of a mass fatality component, which is being exercised as part of the Regional Catastrophic Preparedness Grant Program (Yellow Command).

This year's Urban Shield Incident Commander is Alameda County Sheriff's Office Captain Thomas Madigan. The 2013 Deputy Incident Commander, Alameda County Sheriff's Office Captain Garrett Holmes, will be providing the status report to the Approval Authority.

101013

AGENDA ITEM # 10

APPENDIX A

URBAN SHIELD 2013



FIRST RESPONDERS
**WE HAVE THE
WATCH**

Bay Area UASI
Presentation

2013



URBANSHIELD[®]
ALAMEDA COUNTY SHERIFF'S OFFICE



URBAN SHIELD

- Urban Shield is a continuous, 48-hour Full Scale Multi-Disciplinary Homeland Security/Disaster Preparedness Exercise hosted by the Alameda County Sheriff's Office, with the support of the Bay Area Urban Area Security Initiative (UASI), and more than 200 local, state, federal, international and private sector partners.
- First responders are presented with exercise scenarios that incorporate key elements of real-world emergencies and major critical incidents at various scenario sites in Alameda, Contra Costa, San Francisco, San Mateo and Santa Clara counties.
- An Incident Command System (ICS) structure—with nine area Commands, Medical Checkpoints, and a Department Operations Center (DOC)—will be implemented to manage the multi-location and multi-discipline full-scale exercise for Urban Shield 2013.



URBAN SHIELD

- The overarching goals of Urban Shield are to provide a multi-layered training exercise to enhance the skills and abilities of regional first responders, as well as those responsible for coordinating and managing large scale events. This exercise is designed to identify and stretch regional resources to their limits, test core capabilities, while expanding regional collaboration and building positive relationships. In addition, this exercise provides increased local business and critical infrastructure collaboration.
- In 2013 Urban Shield will become the vehicle to validate the Regional Catastrophic Preparedness Grant Program's (RCPGP) Mass Fatality and Volunteer Management Plans
- Urban Shield 2013 will operate under the principals of the National Incident Management System (NIMS), Standardized Emergency Management System (SEMS) and the Incident Command System (ICS) structure. Regional emergency management personnel will control the exercise utilizing the Emergency Operation Centers and mobile command posts throughout the region. Alameda County OHSES will serve as the Department Operations Center (DOC).

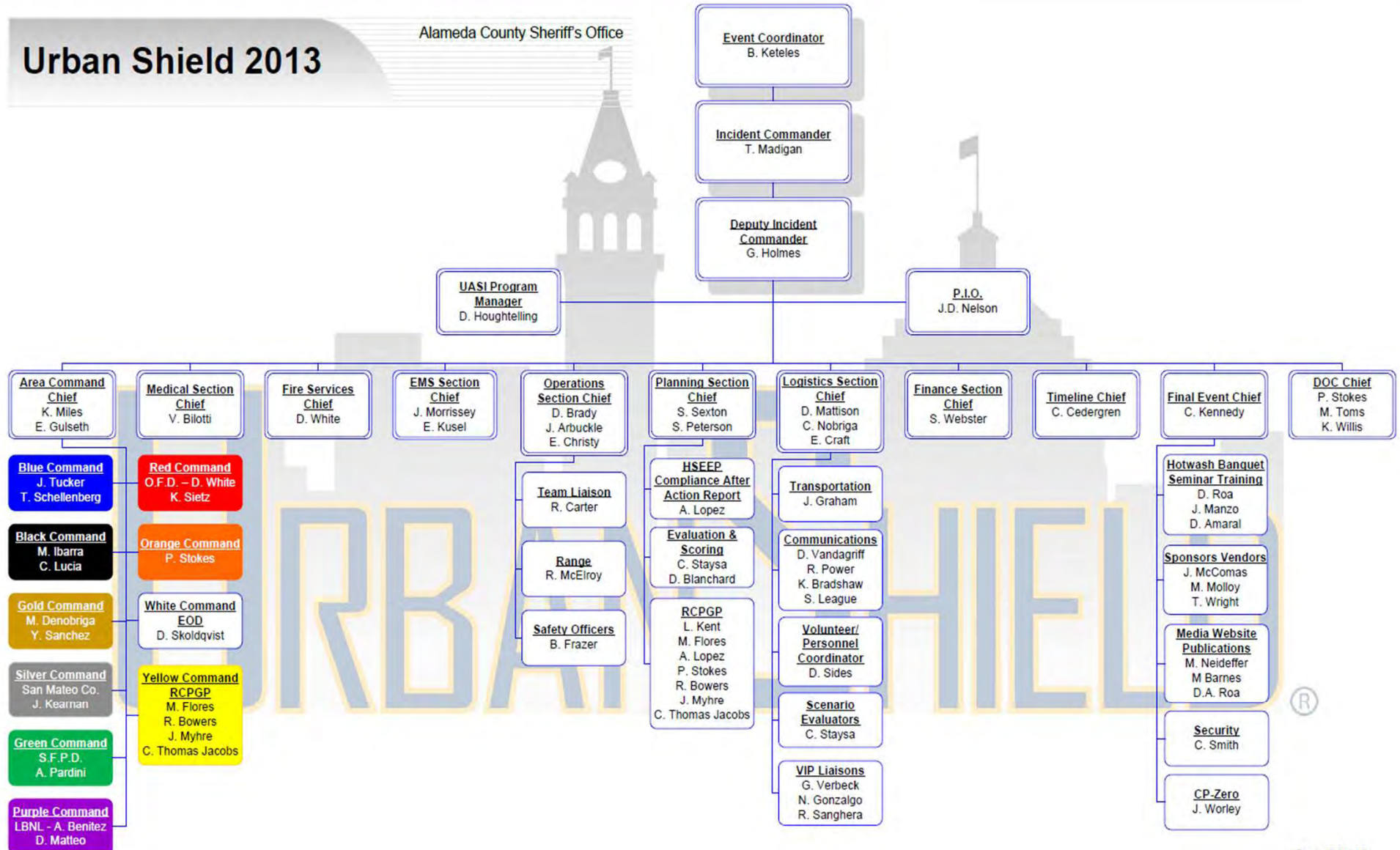


RISK OVERVIEW ASSESSMENT

- Law enforcement, fire, Emergency Operations Center (EOC) and EMS personnel, representing agencies throughout the Bay Area UASI Region, will participate in some, or all, of the realistic scenarios. Their capabilities and equipment will be evaluated by related experts, in order to provide an accurate regional assessment that result in a meaningful Gap Analysis, After Action Report (AAR) and Improvement Plan.
- Urban Shield follows the Homeland Security Exercise and Evaluation Program (HSEEP) methodology.
- Urban Shield is used as a mechanism to develop and maintain the tracking of regional assets so that we verify their location, level of readiness and capability to improve regional preparedness.

Urban Shield 2013

Alameda County Sheriff's Office



PARTICIPATING TEAMS 2013

36 PARTICIPATING TACTICAL TEAMS



Alameda County Sheriff's Office



Alameda Police Department



Berkeley Police Department



Boston Police Department



Brazil (STE CORE)



California Department of Corrections



California Highway Patrol



Chicago Police Department



Contra Costa County Sheriff's Office



Dallas Police Department



Daly City Police Department



East Bay Regional Parks Police



East County Tactical



Fremont Police Department



Hayward Police Department



Marin County Sheriff's Office



Martinez/San Ramon/Walnut Creek PD



Modesto Police Department

PARTICIPATING TEAMS 2013

36 PARTICIPATING TACTICAL TEAMS



Newark Police Department



North Central Region



Oakland Police Department



Palo Alto Police Department



Redwood City Police Department



Richmond Police Department



Sacramento Police Department



San Francisco Police Department



San Francisco Sheriff's Department



San Jose Police Department



San Leandro Police Department



San Mateo County Sheriff's Office



Santa Clara County Sheriff's Office



Stanislaus County Sheriff's Office



Travis County Sheriff's Office, Texas



Union City Police Department



U.C. Berkeley Police Department



U.S. Marine Corps Special Reaction Team

PARTICIPATING TEAMS 2013

24 PARTICIPATING FIRE AGENCIES

Hazmat Team (19):

Alameda County FD
Belmont FD
Contra Costa County Hazmat
Genentech
Idaho Regional Hazmat
Livermore/Pleasanton
Marin County FD
Oakland FD
Richmond FD
Roseville FD
San Francisco FD
San Jose FD
San Ramon Valley FD
Santa Clara City FD
Santa Clara County FD
Sunnyvale FD

Technical Rescue Team (18):

Alameda County FD
Central County FD (San Mateo)
Contra Costa County FD
Marin County FD
Menlo Park/Woodside FD
Monterey FD
Napa Interagency Rescue Team
North County FD (Monterey)
San Francisco FD
San Jose FD
Santa Clara City FD
Santa Clara FD
South San Francisco FD
St. Paul Minnesota Regional
Stockton FD

Water Rescue Team (8):

Alameda City FD
Alameda County FD
Livermore Pleasanton FD
Marin County FD
Menlo Park/Woodside FD
Oakland FD
San Francisco FD
South San Francisco FD

PARTICIPATING TEAMS 2013

7 EOD PARTICIPATING TEAMS



Monterey County Sheriff's Office Bomb Squad



Riverside County Sheriff's Office Bomb Squad



Santa Clara County Sheriff's Office Bomb Squad



Santa Cruz County Sheriff's Office Bomb Squad



U.C. Berkeley Police Department Bomb Squad



U.S. Air Force Bomb Squad



Walnut Creek Police Department Bomb Squad

HOST AGENCIES

Black Command



Alameda County
Sheriff's Office
Sheriff
Gregory J. Ahern

Blue Command



Alameda County
Sheriff's Office
Sheriff
Gregory J. Ahern

Green Command



San Francisco
Police
Department
Chief
Greg Suhr

Gold Command



Alameda County
Sheriff's Office
Sheriff
Gregory J. Ahern

Purple Command



Lawrence Berkeley
National Laboratory
Lawrence-
Berkeley National
Laboratory
Director
Allen Benitez

Red Command



Oakland Fire
Department
Chief
Teresa DeLoach
Reed

Silver Command



San Mateo County
Sheriff's Office
Sheriff
Greg Munks

White Command



Alameda County
Sheriff's Office
Sheriff
Gregory J. Ahern

Yellow Command



Alameda County
Sheriff's Office
Sheriff
Gregory J. Ahern

RCPGP TO EXERCISE THE REGIONAL MASS FATALITY PLAN

- The demonstration/exercise will include the following elements:
 - Disaster Portable Morgue Unit (DPMU):
 - Forensic Pathology
 - Forensic Odontology
 - Forensic Anthropology
 - DNA Collections
 - Radiology
 - Fingerprints
 - Personal Effects
 - Family Assistance Center:
 - Family Registration and Briefing
 - Family Interviews (Ante mortem Data Collection)
 - Spiritual Support
 - Social Services Support
 - Mental Health Services
 - Temporary Body Storage Facility

RCPPGP TO EXERCISE THE REGIONAL MASS FATALITY PLAN

- Participating Agencies:
 - Alameda County Sheriff's Office
 - Contra Costa County Sheriff's Office
 - Marin County Sheriff's Office
 - City and County of San Francisco Medical Examiner
 - San Mateo County Coroner
 - Oregon State Police – Office of the Medical Examiner
 - Contra Costa County Social Services
 - American Red Cross
 - Alameda County Public Health
 - Amtrak
 - LSU

SCENARIOS

- 31 Tactical Scenarios
- 1 Technology Showcase
- 4 Medical Checkpoints
- 6 EOD Scenarios
- 18 Fire Scenarios
- RCPGP Mass Fatality



RED AREA COMMAND

- Radiological Emergency
- Monitoring/Mitigation-Water Quality Control Plant
- Detection/Monitoring
- Transportation Emergency
- Multiple WMD Scenarios
- VBIED
- Monitoring/Mitigation- Gas Dome Digester
- Rail Tank Car Emergency
- Odor Investigation (on-board ship)



RED AREA COMMAND

- High-Angle Rescue
- Low-Angle Rescue
- Trench Rescue
- Confined-Space Rescue
- Sinking Boat with Passengers in Water
- Pollution Control
- Shore Based Rescue/Boat Handling
- Assessment of Critical Infrastructure/Technical Rescue





**SHERIFF GREGORY J. AHERN
INVITES YOUR ORGANIZATION TO ATTEND**

**REGIONAL PREPAREDNESS TRAINING
SEMINAR AND VENDOR SHOW**



October 25, 2013

0800-1500 HOURS TRAINING SEMINAR • 0800-1700 HOURS VENDOR SHOW



**FIRST RESPONDERS
WE HAVE THE
WATCH**



This program is supported by the California Emergency Management Agency in cooperation with 2013 Urban Area Security Initiative grant funds awarded by the U.S. Department of Homeland Security.

**OAKLAND MARRIOTT
CONVENTION CENTER**

1001 Broadway • Oakland, CA 94607

QUESTIONS?





To: Bay Area UASI Approval Authority

From: Barry Fraser, General Manager

Date: October 10, 2013

Re: Item #11: Report from the Bay Area Regional Interoperable Communications System Joint Powers Authority (BayRICS Authority)

Recommendations:

No Recommendations

Action or Discussion Items:

Discussion Only

Report from General Manager of the BayRICS Authority on the activities and progress of the BayRICS Authority for August 2013.

Discussion/Description:

1. BayRICS Administration

The BayRICS Board of Directors held a special meeting on September 16 at the Alameda County Sheriff OES in Dublin. The Board heard a report from General Manager Barry Fraser on the status of Spectrum Lease negotiations with FirstNet. Fraser informed the Board that FirstNet is seeking several modifications to the "BOOM" agreement between BayRICS and Motorola prior to the approval of a Spectrum Lease. The Board authorized GM Fraser to execute a revised Spectrum Lease with FirstNet, and to continue to negotiate changes to the BOOM Agreement and develop recommendations for the Board's approval. The Board also appointed General Manager Barry Fraser and Chair Rich Lucia as representatives on the California First Responder Network (CalFRN) Board of Directors. CalFRN will oversee FirstNet planning and consultation in California.

The BayRICS Authority's next regular meeting is scheduled for Thursday October 10 at 1:30 PM, at the Alameda County Sheriff OES in Dublin

2. Staff Activities

Staff attended the following meetings over the past month, including:

- GM Fraser attended the FirstNet Public Safety Advisory Committee (PSAC) meeting in San Diego on September 11. Fraser was recently named to represent the National Association of Telecommunications Officers and Advisors (NATOA) on the PSAC.
- Fraser met with FirstNet consultants on September 24 to answer questions about anticipated BayWEB user support and billing functions. FirstNet consultants are developing a Request for Information (RFI) to gather information on customer support and billing solutions for the nationwide network, and offered BayRICS the opportunity to provide input on the RFI requirements.

3. Spectrum Lease Negotiations.

BayRICS has not yet executed a spectrum lease with FirstNet. The FirstNet Board deadline to complete lease negotiations formally ended on September 30, 2013, however the parties continue to discuss options. The NTIA granted Motorola Solutions, Inc. an extension on its BTOP grant to December 31, 2013.

The outstanding issue with our lease negotiations involves a recent request by FirstNet to modify several conditions in the “BOOM” Agreement with Motorola, including changes to certain technical specifications and timing of the transfer of the BayWEB system to FirstNet. GM Fraser and BayRICS officers continue to meet with FirstNet and Motorola to review the proposed changes and develop a path forward.

UASI Approval Authority and Management Team Tracking Tool

October 10, 2013 Approval Authority Meeting

Special Request Items/Assignments						
#	Name	Deliverable	Who	Date Assigned	Due Date	Status / Comments
1	RCPGP plan adoption update	Report	Janell Myhre/Jennifer Chappelle	6/17/13	11/14/13	
2	Automated license plate readers funding recommendations	Report	Dave Frazer	4/23/13	11/14/13	
3	Update on regional public safety information sharing systems	Presentation	Mike Sena/Dave Frazer	4/23/13	11/14/13	
4	Results of the FY14 Risk Management Process	Presentation	Dave Frazer/Jason Carroll	8/22/13	11/14/13	
5	America's Cup report out	Presentation	Tom Cleary	10/1/13	11/14/13	
6	Risk Allocation Formula	Presentation	Catherine Spaulding	5/13/13	12/12/13	
7	Medical Surge Project close out	Presentation	Janell Myhre	3/6/13	12/12/13	
8	THIRA	Presentation	Jason Carroll	3/6/13	12/12/13	
9	Regional procurement to close out FY11 and FY12 - orders placed and status of delivery	Report	Jeff Blau	3/6/13	12/12/13	
10	Update on Resource Inventory Project	Report	Jeff Blau	5/16/13	1/9/14	
11	Urban Shield 2013 after action results	Presentation	Dennis Houghtelling	3/6/13	1/9/14	
12	RCPGP catastrophic plan full scale exercise integration with Urban Shield 2013 after action results	Presentation	Janell Myhre	3/6/13	1/9/14	
13	Sub-recipient grant monitoring	Presentation	Tristan Levarado	10/1/13	1/9/14	
14	P25 Systems Update	Presentation	Jeff Blau	9/17/13	2/13/14	
15	RCPGP catastrophic plan just in time training close out	Presentation	Janell Myhre	3/6/13	2/13/14	
16	FY14 proposed projects	Presentation	Catherine Spaulding	8/1/13	3/14/14	
17	Logistics and Critical Lifelines Planning – Project Completion	Presentation	Janell Myhre	8/22/13	3/14/14	

UASI Approval Authority and Management Team Tracking Tool

October 10, 2013 Approval Authority Meeting

Regular Items/Assignments						
#	Name	Deliverable	Who	Date Assigned	Due Date	Status / Comments
A	UASI Quarterly Reports	Report	Tristan Levarado		11/14/13	11/14-FY12 UASI and Travel Expenditures; 12/12- FY12 RCPGP;
B	Election of UASI Officers	Discussion & action item	Chair		12/12/13 (Annually)	