



2013 GRANTS MANAGEMENT WORKSHOP

June 18, 19, or 20, 2013

9:00 AM – 12:00

9:00 – 9:30 AM	REGISTRATION	
9:30 – 9:40 AM	Welcome and Introductions	Tristan Levarado
9:40– 10:15 AM	Project Management <ul style="list-style-type: none"> a. Bay Area UASI overview b. Project Managers c. Project Development d. Project Monitoring e. Change Management 	Janell Myhre/Project Managers
10:15 – 10:35 AM	Sub-recipient MOUs and Contracts <ul style="list-style-type: none"> a. Boilerplate b. Appendix A c. Appendix B d. Appendix C e. Approval Cycle f. Amendment Process g. Procurement/Professional Services Contracts 	Mikyung Kim-Molina
10:35 – 10:45 AM	Financial Management Workbook and Reimbursement Requests <ul style="list-style-type: none"> a. Planning- Personnel & Contractors b. Equipment c. Organization d. Training & Exercise e. Reimbursement requests 	Maw Maw Thein Tun
10:45 – 11:00 AM	BREAK	
11:00 – 11:30 AM	Compliance requirements <ul style="list-style-type: none"> a. Policies and procedures b. Required forms- Environmental & Historic Preservation (EHP), Sole Source, Aircraft/Watercraft c. Sole Source Procurement- Cost Benefit Analysis d. Performance Bonds e. Travel f. Match g. Extensions h. Fraud policy 	Mary Landers

11:30– 11:45 AM	Ensuring Grant Compliance through Monitoring <ul style="list-style-type: none">a. Fiscal Roles and Responsibilitiesb. On-site Financial Monitoring Reviewc. Top Monitoring Issuesd. OMB Circulars	Tristan Levarado
11:45 – 12:00 PM	QUESTIONS AND WRAP UP	

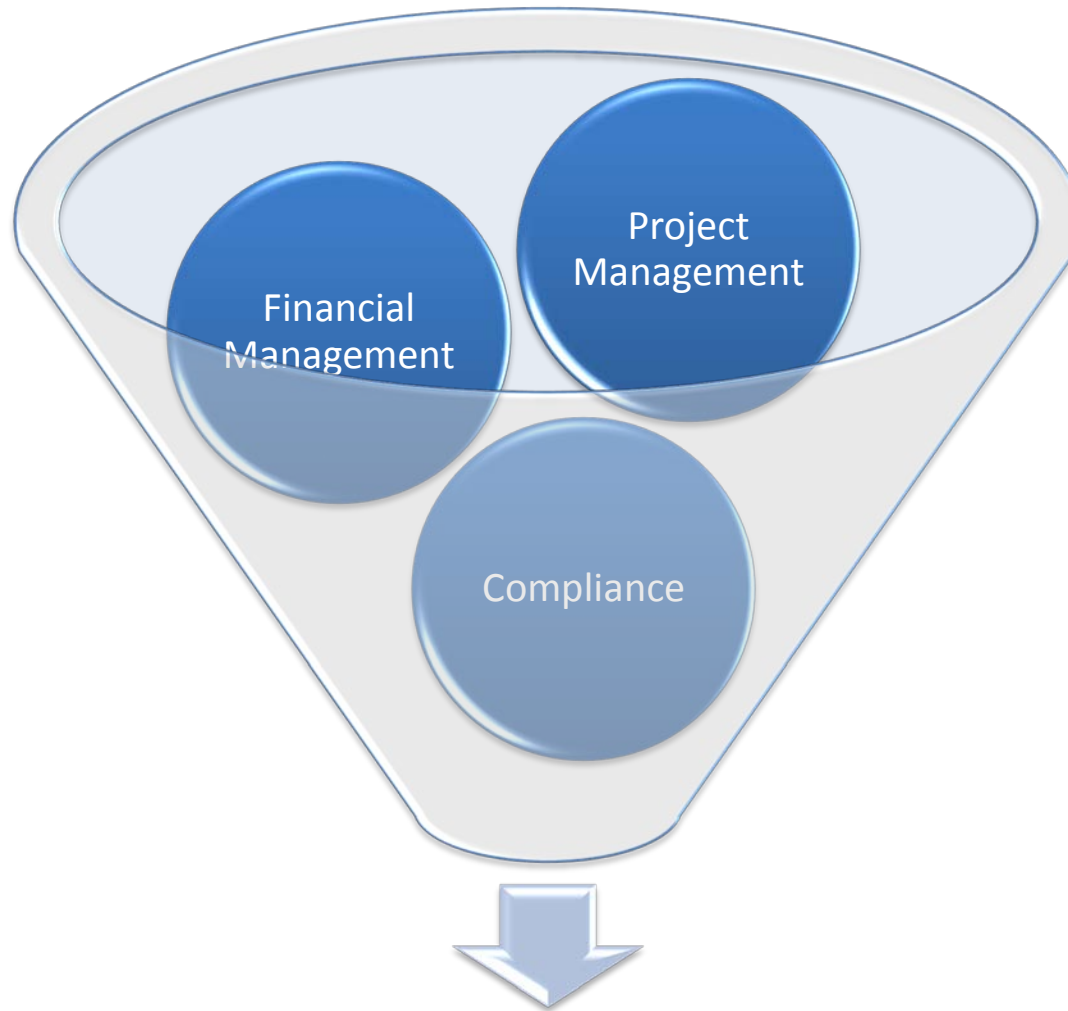
BAY AREA UASI

2013 Grants Management Workshop

June 2013



WELCOME AND INTRODUCTIONS



Successful Grants Management



SUCCESSFUL GRANTS MANAGEMENT



OBJECTIVES

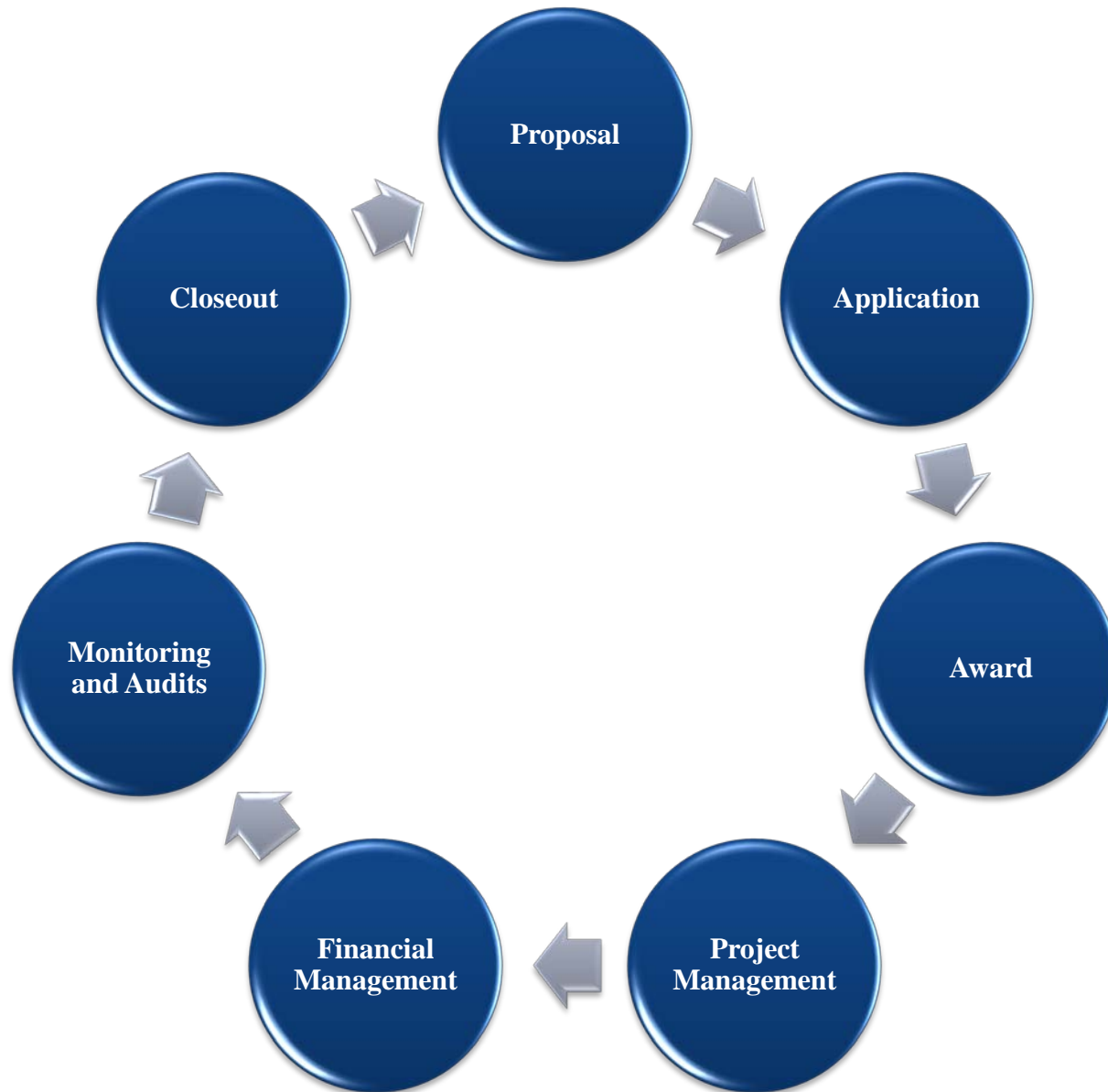
Enhance our understanding of how to effectively manage UASI grants and projects

Learn management tools to monitor projects

Expand our knowledge of the Bay Area UASI grant provisions, compliance and reporting requirements, and policies and procedures



UASI GRANT CYCLE





PROJECT MANAGEMENT

- Bay Area UASI/DHS Goals
- Project Managers
- Project Development
- Project Monitoring
- Change Management





UASI GOALS & PROJECT MANAGEMENT

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

1. Develop a Regional Risk Management and Planning Program
2. Enhance Information Analysis and Infrastructure Protection Capabilities;
3. Strengthen Communications and Interoperable Communications;
4. Strengthen CBRNE Detection, Response, and Decontamination Capabilities;
5. Enhance Medical, Public Health and Mass Care Preparedness;
6. Strengthen Planning and Citizen Preparedness Capabilities;
7. Enhance Recovery Capabilities; and
8. Enhance Homeland Security Exercise, Evaluation and Training Programs.



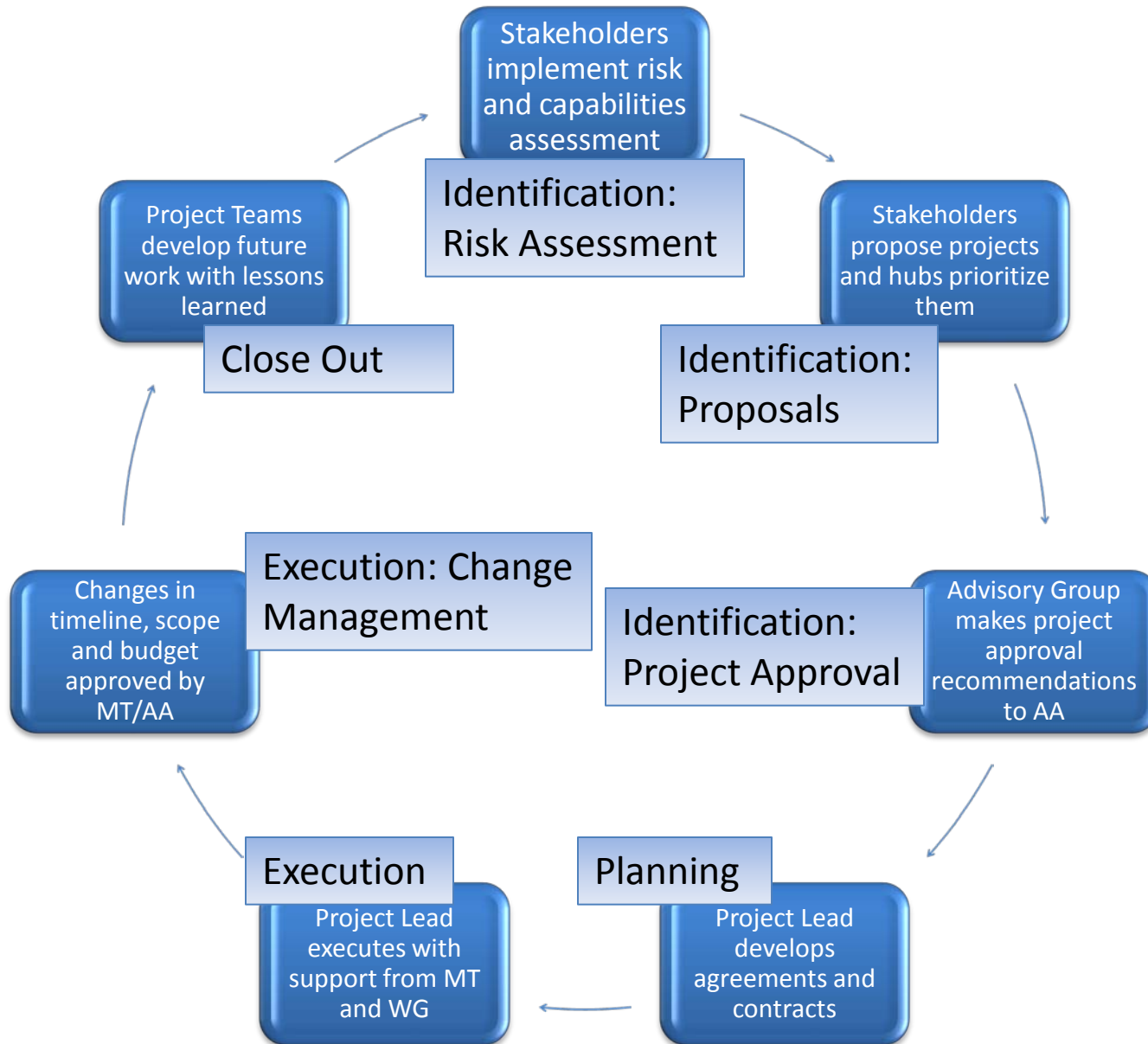
UASI Grant Roles and Responsibilities

Project Management R&R

<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	--
Proposals	--	Coordinate	Implement	--
Prioritizing	Approve	Coordinate	Implement - hubs	
Project Approval	Approve	Coordinate	--	--
Investment Justifications	--	Implement	--	
Grant Application	Approve	Implement	--	--
MOU	--	Implement	--	Inform
Solicitations and Contracts	Over \$500K notified	Approve	--	Implement
Reporting	Notified	Implement	Inform - workgroup	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

This is a simplified overview of a document in development for the updated UASI Grants Policy and Procedures Manual.

PROJECT CYCLE



PROJECT PROPOSAL TEMPLATE



FY2014 UASI PROJECT PROPOSAL FORM v1

HUB, Core City or Sustainment:

Has your project been partially funded by previous UASI grants?: Yes No

1. BACKGROUND INFORMATION

Agency:

Project Name:

Total Project Cost: Annual Sustainment Costs:

Allocation Requested: Minimum Allocation Request:

Contact Information:

Person Submitting Proposal:

Name: Title:

Business Phone: E-mail:

Project Lead Contact Information:

Same as Submitter:

Name: Title:

Business Phone: E-mail:

Cell: Fax:

Department Head Contact Information:

Name: Title:

Phone: E-mail:

Department Head Approval: Yes No

Mission Areas: Select all that corresponds to the mission area of your project Prevent Protect Respond Recover Mitigation



PROJECT PROPOSAL TEMPLATE

Proposed Funding: Provide the proposed funding amount for this project towards applicable Planning, Organization, Equipment, Training and Exercises (POETE) elements. For each funding area selected, provide a brief narrative describing the items or services being funded. For Equipment Projects include Costs for Sales Tax, Shipping Costs, Installation and Performance Bond for Projects over \$250,000 or for the purchase of a vehicle, i.e. Bearcat or vessel, i.e. Boat. If applicable, provide the proposed funding amount from the project that can be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA)

Planning:

Organization:

Equipment:

Training:

Exercises:

Total Project Costs:

LETPA Amount :

Planning
Include language about EOP updates demonstrating that they are following grant requirements of FY2013

Organization

Equipment List the equipment by AEL# and amount. Itemize Taxes, Shipping and Installation. Confirm the Authorized Equipment List (AEL) number from the <https://www.rkb.us/mel.cfm?subtypeid=549> website and select the AEL# using the dropdown lists that follow.

AEL #	<input type="text"/>	Amount	<input type="text"/>
AEL #	<input type="text"/>	Amount	<input type="text"/>
AEL #	<input type="text"/>	Amount	<input type="text"/>
AEL #	<input type="text"/>	Amount	<input type="text"/>
AEL #	<input type="text"/>	Amount	<input type="text"/>

21GN-00-STAX Sales Tax

21GN-00-SHIP Shipping

21GN-00-INST Installation

Training

Exercise

Other Source(s) of Funding: Identify funding amounts from other source(s) that is being utilized for this project



PROJECT MONITORING

Project Managers are responsible for monitoring sub-recipient's grant completion

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.)



PROJECT CHANGES

Project Change Request Form:

- Project Timeline Change
- Project Scope Change
- Project Budget Change
 - Funding Reallocations
 - Hub “next in line”
 - Regional procurement



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: dd/mm/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: dd/mm/yyyy

14. Requested Project Deadline: dd/mm/yyyy



PROJECT CHANGE REQUEST FORM

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).



PROJECT CHANGE REQUEST FORM

13. 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



PROJECT CHANGE REQUEST FORM

20. Additional Information:

21. To be completed by BAUASI Management Team staff after review:

Reviewed by:

Date: dd/mm/yyyy

Approved:

- Yes
 No

Comments:

The Bay Area UASI Project Change Request Review Process:

1. Sub-recipients 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, tagging 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.





WHAT IS AN MOU?

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





WHAT IS IN THE MOU?

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



BOILERPLATE

- Outlines MOU requirements and obligations for entering into an agreement with CCSF
- Section 3.1, Duration of Term
- Section 3.2 Maximum Amount of Funds

AGREEMENT BETWEEN THE CITY AND COUNTY OF
SAN FRANCISCO AND THE COUNTY OF GOLDEN GATE
FOR THE DISTRIBUTION OF FY 2012 UASI GRANT FUNDS

THIS AGREEMENT is made this DECEMBER 1, 2012 in the City and County of San Francisco, State of California, by and between the COUNTY OF GOLDEN GATE ("GOLDEN GATE") and the CITY AND COUNTY OF SAN FRANCISCO, a municipal corporation ("San Francisco" or "City"), in its capacity as fiscal agent for the Approval Authority, as defined below, acting by and through the San Francisco Department of Emergency Management ("DEM").

RECITALS

WHEREAS, The United States Department of Homeland Security ("DHS") consolidated the separate San Jose, Oakland, and San Francisco Urban Areas into a combined Bay Area Urban Area ("UASI Region") for the purpose of application for and allocation and distribution of federal Urban Areas Security Initiative ("UASI") program grant funds; and

WHEREAS, The Bay Area Urban Area Approval Authority ("Approval Authority") was established as the Urban Area Working Group ("UAWG") for the UASI Region, to provide overall governance of the homeland security grant program across the UASI Region, to coordinate development and implementation of all UASI program initiatives, and to ensure compliance with all UASI program requirements; and

WHEREAS, The UASI General Manager is responsible for implementing and managing the policy and program decisions of the Approval Authority, directing the work of the UASI Management Team personnel, and performing other duties as determined and directed by the Approval Authority, and

WHEREAS, San Francisco has been designated as the grantee for UASI funds granted by the DHS through the California Emergency Management Agency ("CalEMA") to the UASI Region, with responsibility to establish procedures and execute subgrant agreements for the distribution of UASI program grant funds to jurisdictions selected by the Approval Authority to receive grant funding; and

WHEREAS, San Francisco has been designated to serve as the fiscal agent for the Approval Authority, and to establish procedures and provide all financial services for distribution of UASI program grant funds within the UASI Region; and

WHEREAS, Pursuant to grant allocation decisions by the Approval Authority, the UASI Management Team has asked San Francisco to distribute a portion of the regional UASI grant funds to GOLDEN GATE on the terms and conditions set forth herein;

NOW, THEREFORE, in consideration of the premises and the mutual covenants contained in this Agreement and for other good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, the parties hereto agree as follows:



APPENDIX A

- Outlines funded projects by letter, title, solution area, program description, milestones, deliverable date, amount, and reimbursement date
- Outlines requirements for reimbursement

Appendix A — Authorized Expenditures and Timelines

ENTITY: GOLDEN GATE

Total allocation to be spent on the following solution areas:

UASI Project Letter and Title	Solution Area	Program Description	Projected Milestone Dates (to be completed on or about)	Deliverable Dates	Amount
Project E Enhance Medical, Public Health and Mass Care Capabilities	Equipment	<p>Funds to be used by the Golden Gate Department of Public Health to purchase equipment for individuals with Access and Functional Needs while in a care and shelter environment.</p> <p>AEL#s: 09ME-01-COTS, 09ME-05-GURN, 09MS-01-SCRN, 09MS-03-HYGP</p> <p>GOLDEN GATE 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 \$250,000, or for any vehicle, aircraft, or watercraft. • 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, GOLDEN GATE must transmit the request to the UASI for request to the State. • Prior to reimbursement, GOLDEN GATE 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 1/3/2014. 	<p>Create Specs: 03/01/2013</p> <p>Issue Competitive Bid: 04/01/2013</p> <p>Award Bid/Contract: 06/30/2013</p> <p>Issue P.O.: 08/31/2013</p> <p>Receive Equipment: 09/31/2013</p> <p>Deploy Equipment: 10/31/2013</p> <p>Equipment Training: 11/15/2013</p>	11/30/2013	Not to Exceed: \$150,000

APPENDIX B

- Outlines state and federal compliance requirements and obligations under the grant
- Affirmation to comply with Civil Rights Laws, Drug Free Workplace, Human Trafficking Act, CEQA, Lobbying Restrictions, ADA, etc.

Appendix B-- Grant Assurances

Name of Jurisdiction: GOLDEN GATE COUNTY

Name of Authorized Agent: JANE JOHNSON, DIRECTOR OF OES

Address: 2222 Golden Way

City: Townville State: CA Zip Code: 94032

Telephone Number: (415) 333-3333

Fax Number: (415) 444-4444

E-Mail Address: jane.johnson@townville.gov

As the duly authorized representative of GOLDEN GATE, I certify that the GOLDEN GATE:

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 Emergency Management Agency (Cal EMA).
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 FY2012 Investment Justifications submitted to DHS/FEMA/Cal EMA, 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.

APPENDIX C

- Submit Reimbursement Request on or before the deadline specified in the Appendix A
- Submit cover page along with all the information required in Schedule 1
- Schedule 1 requires: invoices, canceled checks, payroll registers, purchase orders and contracts.

Appendix C -- Form of Reimbursement Request

REIMBURSEMENT REQUEST

_____, 2013

UASI Management Team
711 Van Ness Avenue, Suite 420
San Francisco, CA 94102

Re: FY 12 UASI Grant Reimbursement Request

Pursuant to Section 3.10 of the "Agreement between the City and County of San Francisco and the County of GOLDEN GATE for the Distribution of FY 2012 UASI Grant Funds" (the "Agreement"), dated DECEMBER 1, 2012, between the County of GOLDEN GATE ("GOLDEN GATE") and the City and County of San Francisco, GOLDEN GATE hereby requests reimbursement as follows:

Total Amount of Reimbursement Requested in this Request: \$ _____

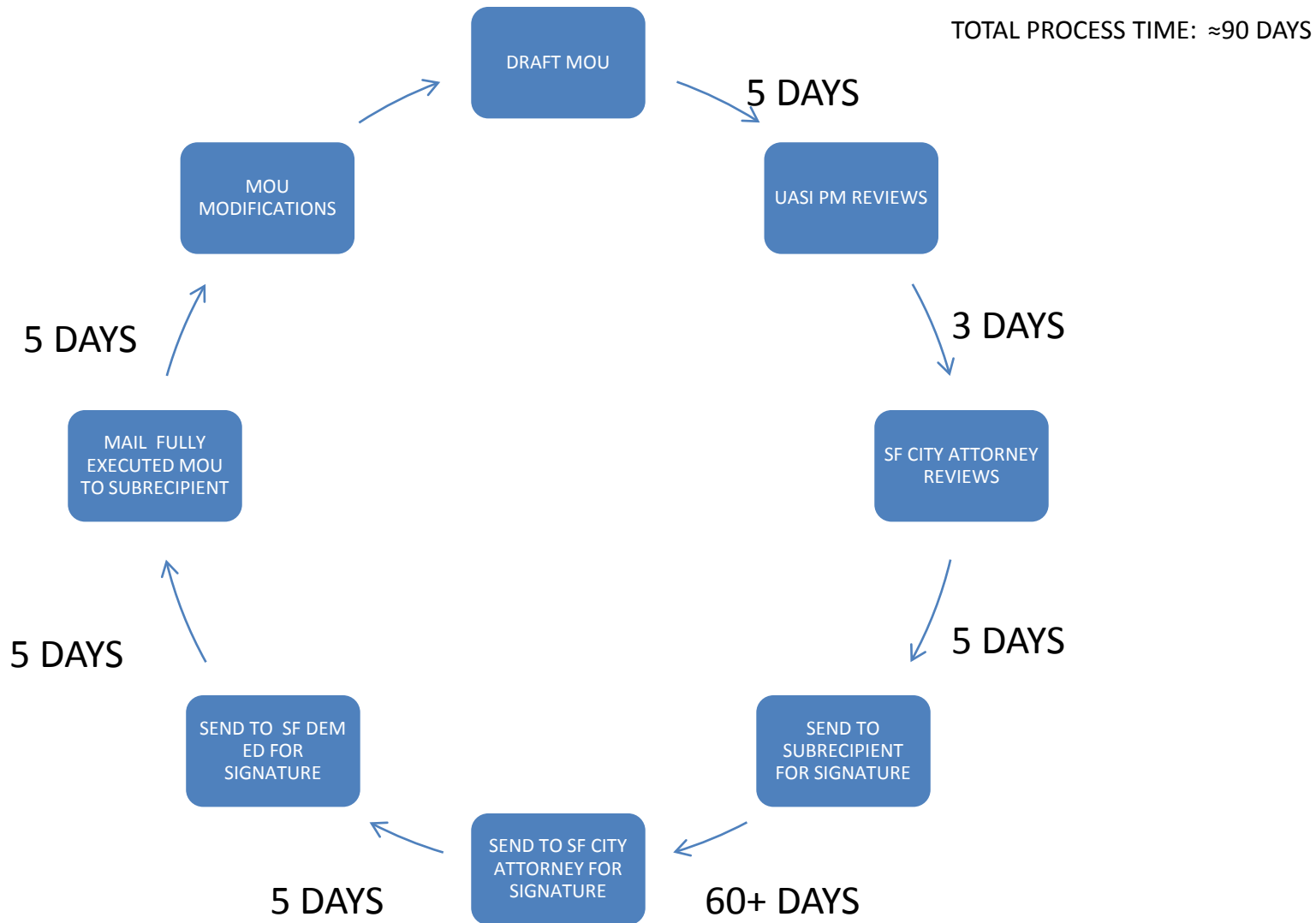
Maximum Amount of Funds Specified in Section 3.2 of the Agreement: \$ _____

Total of All Funds Disbursed Prior to this Request: \$ _____

GOLDEN GATE certifies that:

- (a) The total amount of funds requested pursuant to this Funding Request will be used to reimburse GOLDEN GATE 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.

MOU APPROVAL PROCESS



MODIFICATION NOTICES

MODIFICATION NOTICE CRITERIA

- When an extension of the Deliverable Date does not exceed the MOU term as set forth in Section 3.1
- When a revision in project budget amounts amongst existing projects does not impact the amount of funds set forth in Section 3.2



MODIFICATION NOTICE #1
TO THE AGREEMENT BETWEEN THE CITY AND COUNTY OF SAN FRANCISCO AND
THE COUNTY OF GOLDEN GATE
FOR THE DISTRIBUTION OF FY 2012 URBAN AREAS SECURITY INITIATIVE (UASI) GRANT FUNDS

This Modification Notice is made as of April 1, 2013, in San Francisco, California, by and between the COUNTY OF GOLDEN GATE (GOLDEN GATE), and the City and County of San Francisco, in its capacity as fiscal agent for the UASI Approval Authority.

The original Agreement dated December 1, 2012, is hereby amended as follows:

- Appendix A, Authorized Expenditures and Timelines. Appendix A currently includes all projects and deliverables required of GOLDEN GATE with deliverable dates.

Such Appendix is hereby amended to reflect the following:

- Decrease equipment funds, in the amount of \$10,000, for Portable Radios for Project C;
- Increase equipment funds, in the amount of \$10,000, for Access and Functional Needs for Project E.
- Extend the equipment Deliverable Date from 11/30/2013 to 12/31/2013 for Access and Functional Needs for Project E;

A revised Appendix A, dated September 1, 2012, is attached to this Modification Notice. The attached Appendix A supersedes all prior versions of Appendix A.

The modifications set forth above and in the revised Appendix A shall be effective on and after the date of this Modification Notice. Except as expressly modified by this Modification Notice, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

By signing below, both parties acknowledge and agree to the changes outlined in this Modification Notice.

CITY AND COUNTY OF SAN FRANCISCO

COUNTY OF GOLDEN GATE

Tristan Levarado
Chief Financial Officer, Bay Area UASI

June Johnson
Director, Office of Emergency Services

WHO SHOULD BE FAMILIAR WITH THE MOU?

- EXECUTIVE DIRECTOR
 - FISCAL STAFF
 - PROJECT LEADS



HELPFUL TIPS IN MOU PROCESSING

Calendar as soon as possible for Board or Council

Print out 3 copies for signatures

Grant Assurances must be initialed

Last page of the Grant Assurances must be signed





PROCUREMENT

Procurement includes hiring, purchasing of supplies, and soliciting for professional services.

Sub-recipients should use their own procurement procedures, provided these procurement procedures conform to applicable federal law and standards.





PROCUREMENT PHASES



SOLICIATION PHASE

SELECTION PHASE

NEGOTIATIONS AND
CONTRACTING PHASE





SOLICITATION PHASE

Engage in a full and open competitive bidding process

Obtain State sole source approval, and local approval if necessary





SELECTION PHASE



Include a selection panel that is comprised of subject matter experts

Make a selection based on criteria that is published in the RFP/Q

Observe confidentiality

Include signed impartiality/conflict of interest statements for selection panel members



NEGOTIATION/CONTRACT PHASE

Contain costs that are reasonable and consistent

Include a clearly written scope of services

***Be performed and paid in entirety within the grant
performance period***



FINANCIAL MANAGEMENT WORKBOOK

Planning

Training

Organization

Exercise

Equipment

Reimbursement
Requests



FINANCIAL MANAGEMENT WORKBOOK

Planning

- Description of the final product
- Over \$100K procurement
- Sole source

Organization

- Detail of expenditure
 - Staffing
 - Overtime
 - Backfill

Equipment

- AEL number
- Invoice Number
- Vendor
- ID tag
- Deployed Location
- Acquired date
- Procurement over \$100K
- Sole source
- Hold Trigger (EHP, EOC, etc)

Training

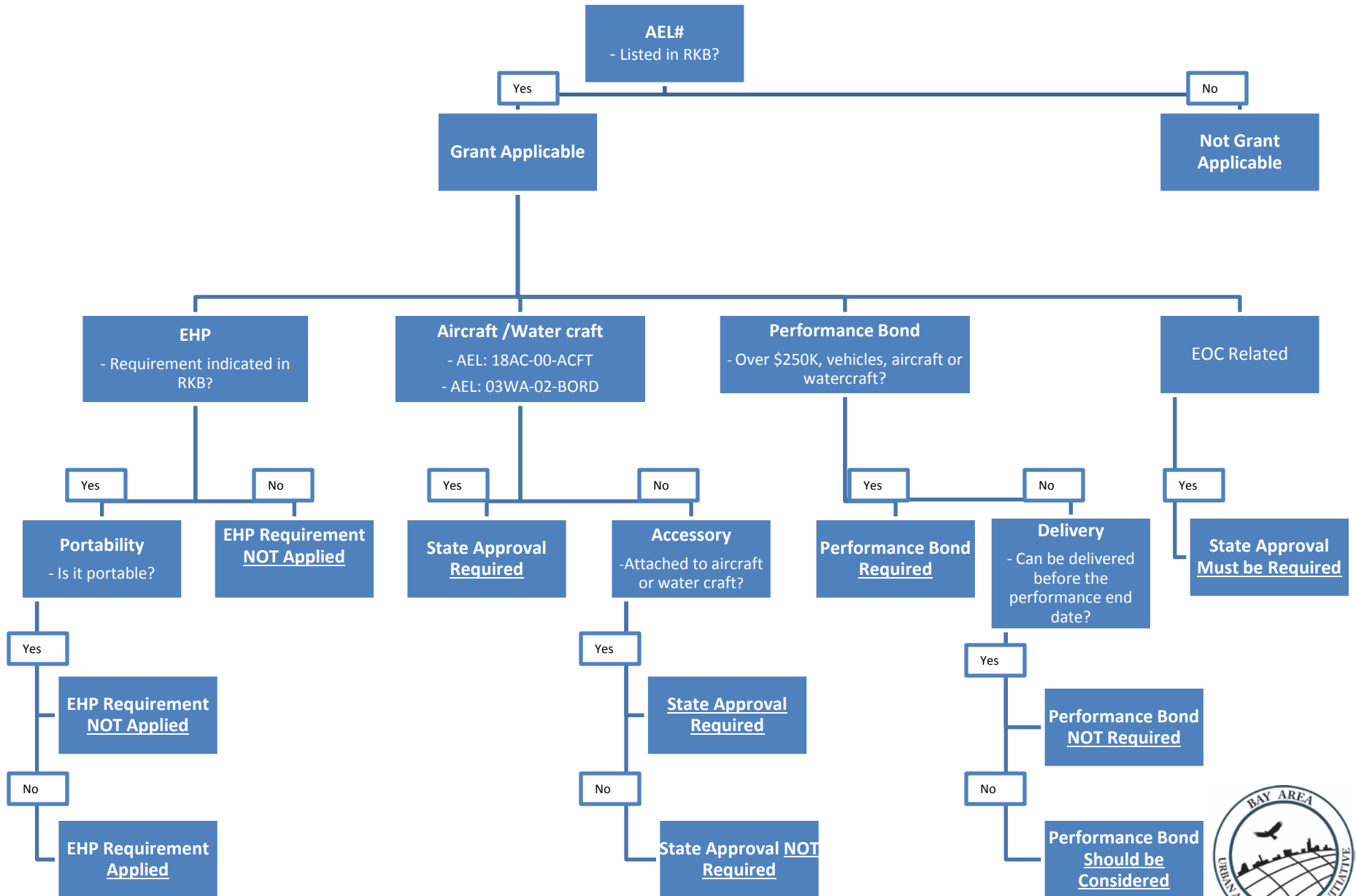
- Feedback number
- Training Activity (classroom or field)
- EHP approval
- Over \$100K procurement
- Sole source

Exercise

- EHP approval date
- Date of exercise
- Exercise activity
- AAR date
- Over \$100K procurement
- Sole Source



Compliance Requirements on Equipment



REIMBURSEMENT REQUESTS

Planning

- Summary of payroll charges (invoices, if contractor)
- Payroll Register (canceled check, if contractor)
- Job description (contract, if contractor)
- Functional timesheets
- Deliverables/Progress Reports

Organization

- Summary of payroll charges (invoices, if contractor)
- Payroll Register (canceled check, if contractor)
- Job description (contract, if contractor)
- Functional timesheets
- Deliverables/Progress Reports



REIMBURSEMENT REQUESTS

Equipment

- Invoice
- Canceled checks
- Purchase order
- Packing slip
- Equipment listing (plus applicable approvals)

Training

- Invoice (payroll charges summary, if personnel time)
- Canceled checks
- Training Feedback Number (plus applicable approvals)
- Proof of training (agendas, sign in sheets, attendance list, certificates)

Exercise

- Invoice
- Canceled checks
- After Action Report
- Applicable approvals



HELPFUL TIPS

Submit a claim once a proof of payment is obtained for a completed milestone/project.

Perform a review prior to sending the documentation out.

Don't forget to sign your reimbursement request.

Check your math.

Perform reconciliation of your accounts (receipts vs claim vs expenditures vs budget)



NEW REQUIRED DATA

Consultant- Contractor

- Fee for deliverables
- Billable hours
- Billable charges



Personnel

- Total payroll charges
- Total hours
- Amount charged to grant



New
Financial
Workbook
items for
FY12 UASI





BREAK





COMPLIANCE REQUIREMENTS

- Policies and procedures
- Required forms:
 - Environmental & Historic Preservation (EHP)
 - Sole Source
 - Aircraft/Watercraft
 - Emergency Operation Center (EOC)
- Sole Source Procurement- Cost Benefit Analysis
- Performance Bonds
- Travel
- Match
- Extensions
- Fraud policy





POLICIES AND PROCEDURES

Develop Written Policies and Procedures (including a Fraud Policy)

Follow local policies unless they conflict with Federal Regulations



REQUIRED FORMS- EHPs

Equipment EHPs- Check RKB Website

Green Box

Possible EHP

Is Equipment Portable?

If Yes- NO EHP required

If No- EHP IS required

Training EHPs- Classroom or Field Based

Classroom based- NO

Field based- YES





EHP SUBMISSION

Receive state approval first!

Work with your PM

Brief, clear project description

Include quantities of items

Physical location of training

Provide aerial and ground level photos





AIRCRAFT AND WATERCRAFT FORMS

Buying an aircraft or something that attaches to an aircraft?

- There's a CalEMA form for that.

Buying a watercraft or something that attaches to a watercraft?

- There's a CalEMA form for that, too.





AIRCRAFT/WATERCRAFT PREPARATION

Receive state approval first!

Work with your PM

A clear justification of your need

Describe how equipment will be used

Identify UASI Goals/Objectives

How will watercraft be used

Provide certification on agency letterhead



EOC REQUEST FORMS

Receive state approval first!

Work with your PM

Describe how EOC improves your organization

Identify other sources of funding

Provide equipment list/costs

Explain "other" items

Are costs reasonable?





SOLE SOURCE PROCUREMENT

- All purchases require competition
- Follow local requirements up to \$100k-
over \$100k requires state approval
- Jurisdictions must ensure that the
contractor is not suspended or debarred
- One bid also requires sole source approval
- If state sole source approval is required, it
must be obtained before purchase





SOLE SOURCE SUBMISSION

Receive state approval first!

Work with your PM

Brief, clear project description

Include vendor contact info

Provide agency regulation for sole sources

Prepare a Cost Benefit Analysis





SOLE SOURCE COST BENEFIT ANALYSIS

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

Analysis should provide specific financial information

Do not spend time describing the safety benefits to staff

Personnel examples include: staffing requirements

Training examples include: interoperability of equipment

Equipment examples include: multiple purchases to obtain the same goals





PERFORMANCE BONDS

Required for:

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

Acts as:

- Insurance policy for jurisdiction

Allows you to:

- Meet UASI performance period deadline with delivery by end of CalEMA's performance period

How much:

- Typically about 1% of the purchase price





GENERAL TRAVEL POLICIES

Follow your travel policy- do not conflict with federal guidelines

Consult with Project Leads- they will assist you

Provide adequate written justification and documentation

Must be within the intent of the overall travel policy



TRAVEL AUTHORIZATIONS

All BA UASI Travel

Written Request/Approval

Direct Supervisor/ UASI GM

Travel for National Associations/ Board/ Committees

Written Request/Approval

UASI Approval Authority

Travel to non-continental destinations

Written Request/Approval

UASI Approval Authority /UASI GM/ Cal EMA/DHS



INTERNATIONAL TRAVEL AUTHORIZATIONS

International Travel Requests

- 6 months prior to departure
- Requires Cal EMA & DHS Approval

Itinerary info

- Dates of travel
- Attendee information/ roles
- Event description
- Agenda

Budget
Airfare/
Lodging/Per
Diem

Benefits of
travel
To subrecipient
To UASI



MATCH

Allocable and allowable cost under the appropriate costs principles and program eligibility requirements.

Provide direct support for the program or project for which funds were awarded.

Made within the performance period of the award.

Supported by source documentation.

Not included as a cost or used to meet cost share or match requirements for another federal award unless authorized by statute.

Consistently treated by the recipient





EXTENSION REQUESTS

Granted only on a case by case basis!

Complete and submit an Extension Request form





EXTENSION REQUEST FORM

Project Details and Status

How will you meet the new deadline

How will you improve to avoid future delays

Guarantee the requested deadline will be met

List, describe, cost breakdown and AEL #s





FRAUD POLICY

All jurisdictions
should have a
fraud policy

- Cover any dishonest act
- Misappropriations
- Improprieties with funds or assets
- Profiteering
- Disclosing confidential information
- Accepting solicitations
- Destruction, removal or other inappropriate use of business materials





FRAUD POLICY

Report suspicions to
UASI CFO

Reports will be investigated
in conjunction with local
and state agencies

Debarment

Termination

Legal
Recourse



COMPLIANCE THROUGH MONITORING

Grants
Management Unit
- Fiscal Roles and
Responsibilities

On-site Financial
Monitoring Review

Top Monitoring
Issues

OMB Circulars



GRANTS MANAGEMENT UNIT - RESPONSIBILITIES



FISCAL ROLES & RESPONSIBILITIES

Reviewing Financial Operations and Systems

Recording Financial Activities

Adhering to Audit Requirements

Accounting for Non-federal Contributions

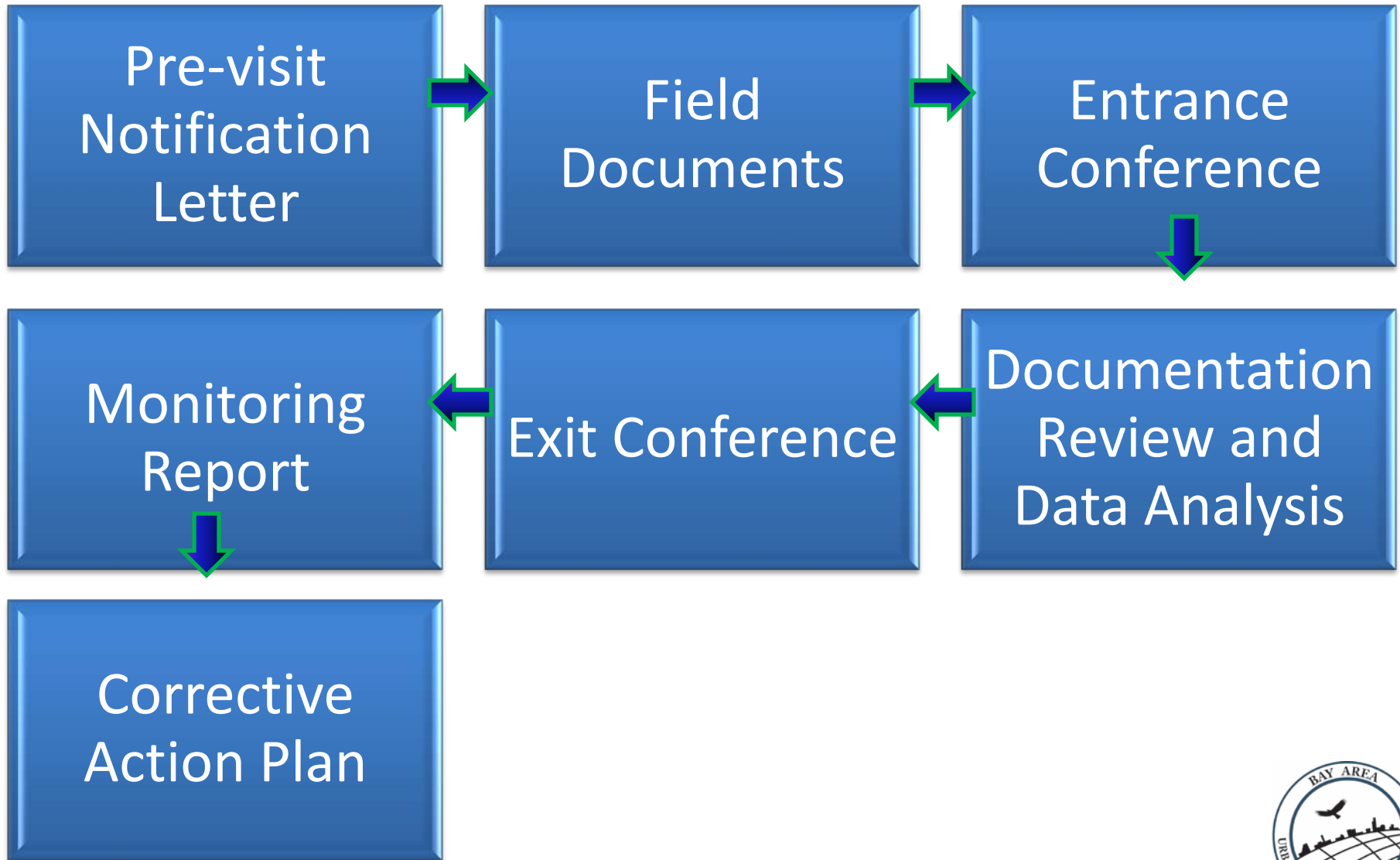
Reviewing Federally-Debarred/Suspended Organizations

Reporting Irregularities

Monitoring Subrecipients



ON-SITE FINANCIAL MONITORING REVIEW



TOP MONITORING ISSUES

Proof of payment

Competitive bidding

Sole source approval

EHP approval

Functional timesheets

Final work product

Equipment listing



Maintenance Contracts and Warranty (including licenses and fees) per FEMA IB #336 and 379

Purchased
incidental to the
original purchase
of the
system/equipment

- Coverage may exceed the grant performance period

Stand-alone or
extension of
existing
maintenance

- Coverage may NOT exceed the grant performance period



Applicable Federal Regulations/OMB Circulars

Grantee Type	Administrative Requirements	Costs Principles	Single Audit Requirements
State, local, or Indian Tribal government	44 CFR Part 13 (A-102)	2 CFR Part 225 (A-87)	A-133
Non-profits	2 CFR Part 215 (A-110)	2 CFR Part 230 (A-122)	
Commercial Organizations		48 CFR Part 31	N/A



THANK YOU
FOR
PARTICIPATING!

BAY AREA UASI

