



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

**Management Team
Policies & Procedures Manual**

DRAFT - August 2017

Table of Contents

I. INTRODUCTION	1
A. Scope and Purpose.....	1
B. Affected Parties	1
C. Bay Area UASI.....	1
D. Management Team.....	2
II. STAFFING AND PERSONNEL PROCEDURES	3
A. Staffing and General Responsibilities.....	3
B. Organizational Chart	5
C. Applicable Personnel Policies and Procedures.....	6
D. New Employee Orientation	6
E. Hiring and Promotion.....	6
F. Performance Evaluations	6
G. Ongoing Performance Feedback	7
H. Training and Professional Development.....	8
I. Change of Address, Phone Number, and/or Name	9
J. Termination of Services.....	9
K. Statement of Economic Interest – Form 700	9
III. GENERAL OFFICE PROCEDURES	9
A. Office Hours.....	9
B. Alternative Work Schedules	10
C. Telecommuting.....	10
D. Work Location	11
E. Location Reporting.....	11
F. Attendance and Accounting for Time.....	11
G. Requesting and Covering Authorized Time Off	12
H. Overtime	13
I. Jury Duty	13

J. Time Entry Procedures	13
K. Reimbursing Expenses.....	14
L. Use of Personal Car for Official Business	14
M. Use of Public Transportation	15
N. Travel Policy	15
O. Professional Appearance and Conduct.....	16
P. Use of Office Facilities and Security	16
Q. Essential Functions and Continuity of Operations Plan (COOP)	16
R. Employee Identification Badge	16
S. Contact with the News Media and Elected Officials.....	17
T. Office Supplies and Equipment.....	17
U. Information Systems Assistance	17
V. Ergonomics.....	17
W. Record Retention.....	17
X. Correspondence.....	18
IV. PROFESSIONAL STANDARDS.....	18
A. Deliverable Quality	18
B. Meetings	19
C. Facilitation, Brainstorming, and Consensus Building.....	19
D. Leadership.....	20
E. Teamwork	21
F. Internal Reporting.....	22
G. Problem Escalation	22
H. Additional Resources	23
V. ETHICAL PRINCIPLES.....	24
A. Professional Ethics	24
B. Hatch Act.....	24
C. Conflicts of Interest.....	24
D. Fraud.....	25
E. City and County of San Francisco Ethics Requirements	26

F.	Department of Emergency Management Statement of Incompatible Activities.....	26
VI.	APPENDICES	28
A-1.	Bay Area UASI Performance Plan	29
B-1.	Bay Area UASI Travel Policy	36
C-1.	Statement of Incompatible Activities.....	60
D-1.	Bay Area UASI Continuity of Operations Plan (COOP)	69

I. INTRODUCTION

A. Scope and Purpose

This manual provides administrative standards, policies, and procedures for Bay Area Urban Areas Security Initiatives (UASI) Management Team staff members. This manual includes:

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

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

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

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

B. Affected Parties

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

C. Bay Area UASI

The Bay Area Urban Areas Security Initiative (UASI) improves capacity to prevent, protect against,

respond to, mitigate, and recover from terrorist incidents or related catastrophic events by providing planning, organization, training, equipment and exercises to the Bay Area UASI region. Working in close collaboration with diverse stakeholders at the local, state, and federal levels, we analyze regional risks, identify capability gaps, and build a secure, prepared and resilient region. The Bay Area UASI also 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, Monterey, Napa, San Benito, San Francisco, San Mateo, Santa Clara, Santa Cruz, Solano, and Sonoma); and more than 100 incorporated cities. The primary source of funds comes from the Homeland Security Grant Program (HSGP) administered by the Department of Homeland Security.

Governed by Memoranda of Understanding (MOUs) between participant jurisdictions, the Bay Area UASI is overseen by the Approval Authority. Various working groups comprised of stakeholders and subject matter experts provide critical input to our processes. The City and County of San Francisco serves as the fiscal agent for the Bay Area UASI. Please see the website, www.bayareauasi.org, and the Bay Area UASI Grants Manual for more information on the participants and functioning of the Bay Area UASI.

D. Management Team

The Bay Area UASI Management Team is responsible for implementing policy decisions of the Approval Authority, administration and management of regional projects that have been endorsed by the Approval Authority, and all other administrative and legislative responsibilities associated with running the UASI. This includes regional capability assessments, 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 is also the point of contact for all inquiries and issues from regional stakeholders and may assist, schedule, and/or facilitate Approval Authority and stakeholder meetings. The Management Team is comprised of two units, Project Management and Grants Management.

The Project Management Unit is responsible for:

- **Needs Identification** – Working with Bay Area working groups as well as appropriate stakeholders to obtain input and make recommendations to the Approval Authority on the application for and allocation and distribution of grant funds.

- **Coordination and Collaboration** – Coordinating working groups to ensure regional collaboration.
- **Program Administration** – Overseeing and executing all administrative tasks associated with application for and distribution of grant funds; including: maintaining records, negotiating deliverables, drafting documents, coordinating timelines for projects, and creating agreements outlining contract amounts and terms.
- **Project Management** – Providing regional coordination, monitoring, and appropriate oversight and management of grant funded projects and programs.

The Grants Management Unit is responsible for:

- **Grants Administration** – Administering federal grant awards to ensure compliance with federal laws, regulations, executive orders, departmental policies, award terms and conditions, and state and local requirements.
- **Procurement** – Developing contracts for projects and reviewing and approving contract procurement for sub-recipient projects.
- **Accounting** – Reconciling financial records, responding to internal and external audits, reimbursing sub-recipients, processing 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.

Please see the Bay Area UASI Grants Manual and the Bay Area UASI Program Manual for more information on the responsibilities of the Bay Area UASI Management Team.

II. STAFFING AND PERSONNEL PROCEDURES

A. Staffing and General Responsibilities

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

- **General Manager** – The General Manager is responsible for providing region-wide leadership and administration of all federal homeland security grants, in direct support of

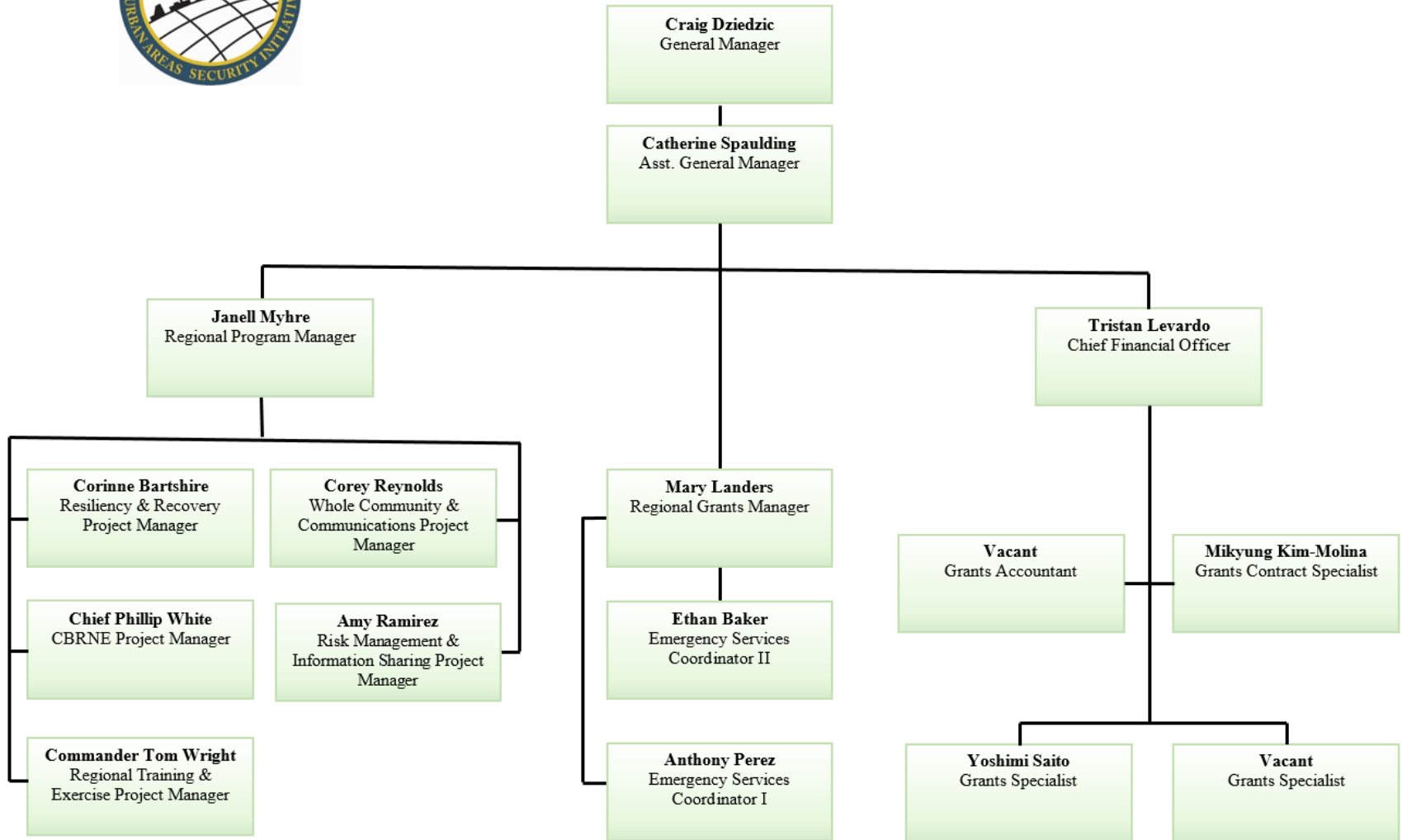
the homeland security goals and objectives and allocations approved by the Approval Authority and awarded to the Bay Area Region. The position develops division goals, objectives, policies, and priorities as well as selects and manages a Management Team.

- ***Assistant General Manager*** – The Assistant General Manager oversees strategic planning, grant allocations, and risk management efforts. This position directs systems for project management, grant oversight, performance management, and evaluation. The Assistant General Manager supports organizational development and manages staff to ensure deliverables are provided on a timely and efficient basis.
- ***Chief Financial Officer*** – The CFO oversees the financial administration of grants including contracts and MOUs, accounting, sub-recipient reimbursements, and reporting to state and federal governments. The CFO ensures that all sub-recipient jurisdictions follow applicable grant financial guidelines, as well as develops and maintains policies, procedures, and systems for monitoring financial performance of projects.
- ***Program/Project Managers*** – Directed by a Regional Program Manager, project staff are responsible for program implementation and coordination of multiple complex projects. Responsibilities include acting as a liaison to UASI partner jurisdictions as well as ensuring that goals and objectives are met and milestones are achieved. Please refer to the UASI Program Unit Manual for additional details.
- ***Finance and Grants Managers/Analysts*** – Finance and grants managers and analysts ensure compliance with grant guidelines; monitor and evaluate performance; undertake fiscal and accounting reconciliation; coordinate and respond to audit investigations; and prepare statistical, fiscal, and programmatic reports.
- ***Organizational Support*** – Organizational support staff provide administrative and communications support to the Bay Area UASI and the Management Team, including scheduling and noticing, agendas and minutes, correspondence, website design and maintenance, annual report and newsletters, invoices, supplies, equipment servicing, and work progress tracking tools.

B. Organizational Chart



Bay Area UASI 2017 Organization Chart



C. Applicable Personnel Policies and Procedures

Pursuant to the 2013 MOU and Bylaws, all Civil Service Commission Rules and personnel policies and procedures from the home jurisdictions of staff of the Management Team apply and should be strictly complied with in personnel management matters, such as hiring, promotion, and discipline.

D. New Employee Orientation

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

E. Hiring and Promotion

The Bay Area UASI Management Team's practice is to hire or promote the best candidate available in a fair and transparent process. All recruitment and selection processes—including those for assigned personnel—will be open, competitive, well-organized, and documented. Vacancies will be widely and publically advertised, and all candidates will be evaluated on an equal basis.

The Bay Area UASI Management Team will carry out recruitment and selection processes in accordance with the City and County of San Francisco Civil Service Commission Rules and in coordination with the City and County of San Francisco Department of Emergency Management (DEM) Human Resources and the City and County of San Francisco Department of Human Resources (DHR).

F. Performance Evaluations

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

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

Managers/supervisors use the standard City and County of San Francisco *Performance Plan and Appraisal Report* (PPAR) form for their direct reports, adopting tailored key objectives for the office and the specific job responsibilities of the staff member under review.

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

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

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

For assigned personnel (staff members who are not City and County of San Francisco employees and who are assigned to the Bay Area UASI Management Team from member jurisdictions), the Bay Area UASI General Manager or his delegate will provide performance plan and appraisal information to the home jurisdiction, per the schedule and process above. Home jurisdictions are ultimately responsible for completing appraisal procedures based on the provided information. To ensure fairness and consistency of review processes and content, the same PPAR template will be used for all Management Team staff members.

Please see Appendix A-1 for the Performance Plan and Appraisal Report template.

G. Ongoing Performance Feedback

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

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

H. Training and Professional Development

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

All Management Team staff members should complete at least 24 hours of professional development each year as part of the annual performance plan (this does not include any mandatory training, such as harassment prevention or disaster service worker training). It is expected that these hours, when approved by management, may be completed while using work time. See “Additional Resources” in Section IV below on “Professional Standards” for training and professional development resources.

Training requests should be made in writing and must be approved in advance by the immediate supervisor and the General Manager or designee. Training that includes travel will generally be limited to professional conferences or specialized training that is not offered locally, and is subject to the Bay Area UASI Travel Policy. Approval of training that is not required or that involves travel will be on a case-by-case basis. *See Appendix B-1 for the Bay Area UASI Travel Policy.*

City and County of San Francisco employees of the Bay Area UASI Management Team must undertake City-required training courses as directed and must comply with all Administrative Code requirements. For elective professional development that is not required (e.g., internal or external training programs, tuition, professional conferences, professional association memberships, and desired licenses relevant to the employee's current classification), employees may use union employee development funds, which vary based on the terms of each union's Memorandum of Understanding. The employee must request pre-approval of his or her anticipated expenses, and should receive approval before making any payments to obtain the professional development.

When using employee development funds, the employee must complete the *General Tuition Reimbursement Form* and have it signed by his or her supervisor. The employee must pay for the professional development in advance and submit a request for reimbursement, required receipts, and proof of completion using the online tuition reimbursement system. If you have never used the online tuition reimbursement system, provide your job classification number and DSW ID number to DEM Human Resources so they can create an account for you.

For more information on how to use employee development funds, please visit <http://sfdhr.org/online-tuition-reimbursement-process>.

I. Change of Address, Phone Number, and/or Name

If a staff member changes his or her address and/or telephone number, the staff member is required to immediately notify DEM Human Resources by submitting a change of address form or a letter with the new address and/or telephone number. If a staff member changes his or her name, the staff member must submit legal verification documents in order to update his or her records. If the staff member fails to report any changes, he or she may not receive important and timely information regarding his or her employment and health benefits.

J. Termination of Services

For staff members who are City and County of San Francisco employees, termination from the Bay Area UASI Management Team will be pursuant to applicable San Francisco Civil Service Commission Rules and personnel policies and procedures. As discussed in the Bay Area UASI Bylaws, assigned employees from other member jurisdictions who are not City and County of San Francisco employees may be terminated from an assignment to the Bay Area UASI Management Team at any time, with or without cause.

K. Statement of Economic Interest – Form 700

For City and County of San Francisco employees, the employing department is determined by the CA Campaign & Government Conduct Code. The employing department will inform personnel who must file a Form 700. Staff assigned to the Bay Area UASI Management Team from other jurisdictions should look to their local rules to determine whether he or she needs to file a Form 700. A member jurisdiction could specify that someone serving on the Approval Authority or assigned to the UASI Management Team is a Form 700 filer at a specific disclosure category.

III. GENERAL OFFICE PROCEDURES

A. Office Hours

Regular working hours for the Bay Area UASI Management Team are weekdays from 8:30 A.M. to

5:30 P.M., with a one-hour lunch and two 15-minute breaks: one in the morning and the second in the afternoon. Staff members are expected to work eight hours each regular working day, unless on an otherwise approved schedule, and should arrive and leave within a 30-minute range of their designated regular working hours. The lunch hour may be shortened to a minimum 30-

minute lunch. However, the two 15-minute breaks cannot be used to extend the lunch break or to make up any work time due to arriving later or leaving earlier than scheduled work hours.

B. Alternative Work Schedules

Bay Area UASI Management Team staff members may set an alternative work schedule—that is, one that does not fit the office’s regular working hours—through a compressed work schedule (i.e., working nine days totaling to 80 hours during a pay period). A request for this alternative work schedule must be consistent with the Department of Emergency Management’s department-wide policy, made in writing, and approved by the General Manager. Staff members may be considered for an alternative work schedule after having passed probation and must be in excellent standing per their performance evaluations. Approval is subject to management discretion and business needs, and can be revoked at any time by management.

Staff members on any alternative work schedules must work at least during the core office hours of 9:00 A.M. to 4:00 P.M., Monday through Thursday. Staff must schedule at least a 30-minute lunch each day and cannot use the two 15-minute breaks to reduce work hours or to make up any work time due to arriving later or leaving earlier than scheduled work hours. Staff members on alternative work schedules are responsible for maintaining their full workweek. For more information and to submit an application, please see the Department of Emergency Management’s Alternative Work Schedule Program memo.

C. Telecommuting

Telecommuting on an ad-hoc or regular basis is not permitted. However, scheduled telecommuting may be permitted in exceptional circumstances for a limited time period. Special circumstances could include a health, family, or other personal situation, and telecommuting arrangements can only be approved for periods of up to six months at a time. Approval is provided by the General Manager, is subject to management discretion and business needs, and can be revoked at any time. To be eligible, a staff person’s position must be deemed appropriate for telecommuting, and the staff person must be a suitable candidate. In addition, staff must be in excellent standing per their performance review and have worked for a period of at least one year with the Bay Area UASI Management Team and have passed probation. Any telecommuting approved must be in writing and also be consistent with relevant labor agreements and policies of the employee’s home jurisdiction. City and County of San Francisco employees who receive approval to telecommute are required to follow the City-wide Telecommute Policy guidelines found at <http://sfdhr.org/telecommute>.

D. Work Location

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

E. Location Reporting

The Bay Area UASI Management Team uses Microsoft Outlook to schedule its meetings and activities. Staff members who are employees of the City and County of San Francisco Department of Emergency Management are responsible for keeping their Outlook calendars current and making sure they are shared with the entire Management Team staff. Calendars should reflect staff members' locations at all times, since this is the primary method used to identify staff members' locations when necessary. Staff members should enter all meetings, appointments, vacations, and external work locations in their calendars as they are scheduled. In addition, all staff members are also required to input vacations, regional meetings, and other out of office absences into a shared Microsoft Outlook calendar.

F. Attendance and Accounting for Time

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

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

- **Illness** – If a staff person will be absent due to illness or other unforeseen reason, he or she must speak to or leave a voice mail message with his or her manager/supervisor as soon as possible or by 9:30 A.M. If a staff person is out sick more than one day, he or she must call in. If a staff person is out sick for more than five consecutive workdays, he or she must submit to his or her manager/supervisor a completed *Request for Leave and Leave Protections* form stating the duration of the sick leave, signed by the health care provider.
- **Planned Absences** – In addition to vacations and other leave, planned absences include all time off requested in advance, such as medical appointments, and staff members must make such requests to their manager/supervisor. See next section (“Requesting and Covering Authorized Time Off”).

- **Arriving Late, Taking Time Off During the Day, and Leaving Early** – If a staff person is late by less than 30 minutes from his or her regular arrival time, it is assumed that the staff person will make up the time by working later or shortening his or her lunch period that day, unless the staff person informs his or her manager otherwise. However, the minimum duration of the lunch period is 30 minutes and cannot be shortened further. If the staff person is late 30 minutes or more in the morning or takes an extra 30 minutes or more at lunch or at another time during the day, the staff person must inform his or her manager that day how he or she will account for the time. If the staff person opts not to make up the 30 minutes or more that day, the staff person should charge that time to vacation or other leave.
- **Notification When Arriving Late** – If a staff person is running late in the morning and will arrive more than 30 minutes later than his or her regularly scheduled arrival time, he or she must call his or her manager to inform the manager of his or her estimated arrival time.
- **Holidays** – Legal holidays and floating holidays are counted as eight hours, unless the staff member is on a reduced schedule (working less than 80 hours per pay period).

G. Requesting and Covering Authorized Time Off

To request time off, Bay Area UASI Management Team staff members who are City and County of San Francisco Department of Emergency Management employees should make the time off request through the PeopleSoft system, a web-based project management/time tracking tool. Staff members should not purchase plane tickets or make arrangements for travel until time off requests have been approved. Please note that all approved vacations are subject to change depending on the office's needs.

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

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

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

H. Overtime

Staff members must have any compensated overtime preauthorized by the General Manager via email. Credit for overtime, whether on a compensatory or paid basis and at what rate, will be provided in a manner consistent with that staff member's existing labor agreement or home jurisdiction's agreement.

I. Jury Duty

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

If the staff member is released from jury duty early, the staff member must report back to work for the remaining hours or use leave hours to account for the remaining hours not spent on jury duty. Staff members must obtain a document from the court attesting to the number of days that the staff member was on jury duty and submit a copy to the Administrative Manager for payroll and tracking purposes. If the staff person receives a jury duty payment check, he or she is to submit a copy of the remittance advice to DEM Payroll so that the staff person's paycheck can be reduced by the amount of the jury duty payment check for jury duty service. If the court provides government employees the option to waive the jury duty payment check (e.g., Declaration of Government Employee Status), the staff member should declare that he or she is a government employee who receives regular compensation and benefits from his or her employer while performing jury service.

J. Time Entry Procedures

Bay Area UASI Management Team staff members who are City and County of San Francisco Department of Emergency Management employees are required to accurately enter their time on a weekly basis using PeopleSoft, a web-based project management/time tracking tool. Such weekly entries include actual time worked as well as vacation days, sick time, legal holidays, and work furlough days. On a regular basis, all UASI Management Team staff members are required to review and approve functional timesheets for federal and state grant compliance purposes prepared by the Grants Management Unit.

K. Reimbursing Expenses

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

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

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

L. Use of Personal Car for Official Business

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

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

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

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

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

Please note that:

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

M. Use of Public Transportation

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

N. Travel Policy

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

See Appendix B-1 for the Bay Area UASI Travel Policy.

O. Professional Appearance and Conduct

Professional appearance and conduct enhance an organization's credibility and reputation. Accordingly, Bay Area UASI Management Team staff members should dress appropriately when on the job. All staff, moreover, should promote an attitude of professionalism and competence. The office has a Friday casual dress policy. However, staff must take into consideration whether casual dress is appropriate if they have outside meetings.

P. Use of Office Facilities and Security

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

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

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

Q. Essential Functions and Continuity of Operations Plan (COOP)

As a division of the San Francisco Department of Emergency Management, the Bay Area UASI Management Team has prepared a Continuity of Operations Plan (COOP) to be used in the event of a disruption or threatened disruption of the normal operations of the division's essential functions. The plan explains the functions, operations, and resources necessary to ensure the continuation of these essential functions and provides guidance on the allocation of resources including the reassignment of personnel, the use of alternate facilities, and use of administrative and management support. *Please see Appendix D-1 for a full copy of the plan.*

R. Employee Identification Badge

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

S. Contact with the News Media and Elected Officials

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

T. Office Supplies and Equipment

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

U. Information Systems Assistance

The IT unit at the Department of Emergency Management is responsible for the information systems functions in the office, including computers and associated devices, telephones, network, email, and software. Staff may request assistance through contacting the IT unit. Staff should utilize the IT helpdesk system by emailing dtis.helpdesk@sfgov.org.

V. Ergonomics

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

W. Record Retention

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

in an organized fashion that is accessible to other members of the Management Team. It is critical that all staff maintain organized and complete records in the shared computer drive.

X. Correspondence

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

IV. PROFESSIONAL STANDARDS

A. Deliverable Quality

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

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

Quality standards for Excel files include:

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

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

Approval Authority agenda items must be written using the most up-to-date template. For Approval Authority presentations, slide decks should not exceed eight slides and should not be too densely formatted. Pictures and other visual depictions are encouraged. Approval Authority agenda item and presentation templates are available in the UASI office electronic share drive.

B. Meetings

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

- Establishing a clear objective prior to each meeting;
- Preparing a clear agenda and distributing it in advance;
- Identifying necessary participants;
- Starting and ending the meeting on time;
- Following the agenda;
- Conducting a meeting summary of major points discussed, decisions reached, and next steps with responsible parties and timeline;
- Creating and distributing minutes;
- Following up with key stakeholders who were absent;
- Sending Save the Date meeting notifications out a minimum of 30 days in advance via a Microsoft Outlook calendar invitation; and
- Sending meeting materials no later than one week prior to the meeting via email and/or as a Microsoft Outlook invitation update.

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

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

C. Facilitation, Brainstorming, and Consensus Building

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

When facilitating, staff members should:

- Ask open-ended questions;

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

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

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

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

- Getting the right people to participate;
- Allowing enough time for discussion;
- Resisting the temptation to come to agreement too quickly;
- Listening;
- Involving everyone, particularly all key stakeholders;
- Being open minded about the decision;
- Guiding the participants to consider the impact of each alternative; and
- Ensuring that all (or a majority) of participants are willing to support the decision or agreement.

D. Leadership

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

E. Teamwork

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

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

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

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

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

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

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

F. Internal Reporting

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

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

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

G. Problem Escalation

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

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

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

H. Additional Resources

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

- **Project Management** – The American Management Association (AMA) and Project Management Institute offer numerous training courses on all aspects of project management. Some particularly good resources on project management include the *AMA Handbook of Project Management*, *Project Management Step-by-Step*, and *A Guide to the Project Management Body of Knowledge*.
- **Financial Management** – The Government Finance Officers Association (GFOA) provides professional development training opportunities to state and local finance professionals, and features a range of training and professional resources on its website, www.gfoa.org
- **City and County of San Francisco Department of Human Resources (DHR)** – DHR offers a host of trainings related to work processes of the Bay Area UASI Management Team. Offerings include courses on leadership, communications, writing, presentations, conflict management, and project management. Please see the DHR website for more information.
- **Homeland Security** – The following websites offer homeland security and emergency response-related training:
 - Bay Area UASI Regional Training & Exercise Program <https://www.bauasitep.org/>
 - Texas Engineering Extension Services (TEEX) <http://www.teex.com>
 - Energetic Materials Research and Testing Center (EMRTC) <http://respond.emrtc.nmt.edu/>
 - Homeland 1 <http://www.homeland1.com/homeland-security-education-training/>
 - FEMA Emergency Management Institute Independent Studies <http://training.fema.gov/IS/crslst.asp>

- Center for Homeland Defense and Security-Naval Post Graduate School
<https://www.chds.us>

V. ETHICAL PRINCIPLES

A. Professional Ethics

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

B. Hatch Act

All Bay Area UASI Management Team staff members must 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.

C. Conflicts of Interest

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

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

No official or employee of a State or unit of local government or a non-governmental recipient/sub-recipient shall participate personally through decisions, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise in any proceeding, application, request for a ruling or other determination, contract, award, cooperative agreement,

claim, controversy, or other particular matter in which award funds (including program income or other funds generated by federally funded activities) are used, where to his/her knowledge, he/she or his/her immediate family, partners, organization other than a public agency in which he/she is serving as an officer, director, trustee, partner, or employee, or any person or organization with whom he/she is negotiating or has any arrangement concerning prospective employment, has a financial interest, or has less than an arm's-length transaction.

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

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

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

D. Fraud

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

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

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

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.

E. City and County of San Francisco Ethics Requirements

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

- San Francisco Ethics Commission regulations;
- Civil Service Commission Rules;
- Provisions of the Employee Handbook published by the Department of Human Resources (DHR), which can be found at <http://sfdhr.org/employees>; and
- All applicable Memoranda of Understanding (MOUs) pertaining to an employee's position classification.

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

- Regulations implementing Proposition E (Conflict of Interest) (refer to "Laws" section of the Ethics Commission web page).
- Ethics Commission Manual, "A Guide to State and Local Laws Governing the Conduct of Public Officials and Employees" (refer to "Laws" section of the Ethics Commission web page).
- DHR Employee Handbook, "Conflicts of Interest and Ethical Obligations"
- Civil Service Commission Rule 118, "Conflict of Interest"

F. Department of Emergency Management Statement of Incompatible Activities

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

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

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

- **Acceptance of Gifts** – Employees are not permitted to accept any gifts from any entity other than the City for performing services or acts that the employee is expected to render in his or her normal course of duties. In addition, employees are not allowed to accept gifts from other City departments. Nevertheless, there are specific circumstances in which gifts are considered minimal, and can be accepted:
 1. Voluntary gifts, other than cash, with an aggregate value of \$25 or less per occasion.
 2. Voluntary gifts such as food and drink, without regard to value, to be shared in the office among employees or officers.
 3. Free attendance at a widely attended convention, conference, seminar or symposium.

- **Outside Employment** – If it is determined that outside employment is not an incompatible activity, employees should also become familiar with Civil Service Rule 18, which discusses conflict of interest and additional part-time employment for City employees. Employees should ensure that they meet all City rules and regulations before accepting additional part-time employment. It is the policy of the Department that all employees comply with the Civil Service requirement that they report and receive approval for compensated employment outside of their employment with the City. Additionally, employees are prohibited from using City time and resources such as telephones, fax equipment, computers, copying machines, and other materials and supplies for outside employment.

See Appendix C-1 for a full copy of the Statement of Incompatible Activities.

VI. APPENDICES

A-1 Bay Area UASI Performance Plan

B-1 Bay Area UASI Travel Policy

C-1 Statement of Incompatible Activities

D-1 Bay Area UASI Continuity of Operations Plan (COOP)

A-1. Bay Area UASI Performance Plan

2017-2018

Performance Plan and Appraisal Report

I. EMPLOYEE IDENTIFICATION INFORMATION

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

II. PERFORMANCE PLAN – JOB DESCRIPTION

REVIEW OF DUTIES & RESPONSIBILITIES BASED ON JOB DESCRIPTION

FUNCTIONAL/WORKING TITLE	
1.	COMMENTS:
2.	COMMENTS:
3.	COMMENTS:
4.	COMMENTS:
5.	COMMENTS:
6.	COMMENTS:
7.	COMMENTS:
8.	COMMENTS:
9.	COMMENTS:
10.	COMMENTS:

11.	COMMENTS:
12. Statement of Incompatible Activities: Fully comply with the department’s Statement of Incompatible Activities as approved by the Ethics Commission. Compliance includes, but is not limited to: Restrictions on Incompatible Activities; Restrictions on Use of City Resources, City Work-Product and Prestige; and Prohibition on Gifts for Assistance with City Services.	COMMENTS:
13. Use of City and County Resources for Business Purposes Only: All City equipment, devices, and materials (i.e., photocopiers, telephones, computers, vehicles, stationery, fax machines, email accounts, etc.) must be used only for conducting City business.	COMMENTS:
14. DSW Preparedness: Take all necessary steps to prepare yourself for an emergency, in your capacity as a Disaster Service Worker; provide updated personal contact information to your department so that you can be contacted in the event of an emergency; report in and respond promptly to instructions by the City and/or your department in the event of an emergency; participate in any drills or emergency exercises as notified; and carry out disaster-related work assignments as required; complete all required disaster-related trainings.	COMMENTS:
15. Customer Service: As a representative of the City, be efficient, professional, accountable, and courteous in your interactions with the public, fellow employees, and external business partners. Respond to requests for assistance and/or requests for information in a timely manner as specified by your department.	COMMENTS:
16. Attendance: Regular and prompt attendance is required for your job. All planned absences must be requested and approved in advance. For illness, emergencies or other unplanned and unforeseeable absences, notify your supervisor as soon as possible, but no later than the beginning of the work day on the first day of the absence	COMMENTS:
17. Compliance with Rules, Policies and Procedures: Fully comply with all Departmental rules, policies and procedures. Also comply with City rules and policies in the Employee Handbook including, but not limited to: Policy on Equal Employment Opportunity; Policy on Equal Opportunity and Reasonable Accommodation for Individuals with Disabilities; Policy Prohibiting Harassment; Policy Prohibiting Employee Violence in the Workplace; Policy Regarding the Treatment of Co-Workers and Members of the Public; Responsibility for Responding to and Reporting Discrimination, Retaliation and Harassment; Reporting and Responding to Workforce Violence; etc.	COMMENTS:

III. PERFORMANCE PLAN – KEY OBJECTIVES

Accountability: <i>Desire and willingness to assume responsibility for a group and/or one’s personal actions. Understand the impact of one’s behavior and actions on the group and its desired goal. Dedication to the success of the department and your team by being engaged, responsible, transparent, meeting commitments and producing timely, quality work products.</i>	
<input type="checkbox"/> Provided little or no support for policies and decisions. Unwilling to hold self or subordinates accountable for actions. Lax at enforcing City or department policies, procedures or regulations.	REVIEW OF PERFORMANCE:
<input type="checkbox"/> Required self, subordinates, and others to conform to City or department rules and regulations. Enthusiastically supported policies and decisions of management. Initiated appropriate administrative and disciplinary action when necessary. Enforced standards uniformly.	
<input type="checkbox"/> Consistently held self, subordinates and others accountable for performance and behavior. Actively persuaded others to support policies and decisions even if unpopular. Outstanding leader that aggressively worked to ensure standards were uniformly enforced.	

Initiative: <i>Ability to originate and act on new ideas, pursue opportunities to learn and develop, and seek responsibility without guidance were supervision.</i>	
<input type="checkbox"/> Postponed needed action. Implemented or supported improvements only when directed to do so. Showed little interest in career development. Potential improvements in methods, services, or products went unexplored.	REVIEW OF PERFORMANCE:
<input type="checkbox"/> Championed improvement from new ideas, methods, and practices. Anticipated problems and took prompt action to avoid or resolve them. Sought opportunities for own career development.	
<input type="checkbox"/> Aggressively sought out additional responsibility. Optimized the use of new ideas and methods. Made noteworthy contributions to improving process and service delivery.	

Respecting Others: <i>The degree to which this individual cooperated with other people or groups to achieve common goals.</i>	
<input type="checkbox"/> Showed disregard for feelings of others through inappropriate comments were actions. Did not promote a team effort.	REVIEW OF PERFORMANCE:
<input type="checkbox"/> Treated others in a courteous, thoughtful, and respectful manner. Worked comfortably with others of all levels and positions.	
<input type="checkbox"/> Worked to achieve a high state of mutual respect with all. Actively encouraged sensitivity to an understanding of the attitudes, perceptions, and ideas of others. Outstanding cooperation with others.	

Adaptability: <i>The degree to which this individual monitored, adjusted, and managed change as directed by division, department, or political realities.</i>	
<input type="checkbox"/> Occasionally had difficulty in digesting to changes in job, policies, procedures, and environment. Effectiveness impaired by changes to routine. Ignored division, department, or political realities.	REVIEW OF PERFORMANCE:
<input type="checkbox"/> Took change in stride. Adapted quickly to changes in division, department, or political realities. Maintained effectiveness despite disruptions to work routine.	
<input type="checkbox"/> Expertly managed change. Adjusted easily to major last minute changes in job, policies, procedures, or organizational and political environments. Very flexible. Maintained a high degree of effectiveness.	

IV. APPRAISAL REPORT SUMMARY

A. OVERALL PERFORMANCE RATING

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

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

B. COMMENTS REGARDING OVERALL PERFORMANCE

C. EMPLOYEE GUIDELINES – PERFORMANCE PLAN AND APPRAISAL REPORT

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

V. SIGNATURE PAGE

PERFORMANCE PLAN

A. Performance Plan/Key Objectives Sign-Off

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

B. Mid-Period Performance Review Meeting

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

PERFORMANCE APPRAISAL REPORT

C. Reviewer's Certification

1. NAME, WORK LOCATION	2. JOB CODE NUMBER AND TITLE	
3. I CERTIFY THAT I HAVE REVIEWED THIS REPORT. (Signature)		4. DATE

D. Reporting Supervisor/Manager

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

E. Employee's Statement

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

VI. EXPLANATIONS OF SECTIONS

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

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

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

IV. APPRAISAL REPORT SUMMARY

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

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

- | | | |
|--|--------------------------------------|--|
| ◆ Demonstration of Dept Values | ◆ Attendance and Punctuality | ◆ Effectiveness of Working with Others |
| ◆ Overall Performance of Job Description | ◆ Quantity of Work Performed | ◆ Use of Materials and Equipment |
| ◆ Results of Performance Objectives | ◆ Quality of Work Performed | ◆ Safety |
| ◆ Knowledge of Job | ◆ Adaptability to the Work Situation | ◆ Performance Plans |
| ◆ Employee's Strengths | | |
| ◆ Achievements | | |

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

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

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

V. SIGNATURE PAGE

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

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

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

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

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

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

B-1. Bay Area UASI Travel Policy



BAY AREA UASI TRAVEL POLICY

Updated FEBRUARY 2017

Contents

SCOPE OF THIS MANUAL..... 1

- Policies, Guidelines, and Procedures..... 1
- Affected Parties 1

PURPOSE, OBJECTIVES AND PRINCIPLES..... 1

- Purpose..... 1
- Objectives 1
- Guiding Principles 2
- Definition of Official Business..... 2
- Prudent Person Standard 2
- Occasions for Travel 3
- Non-occasions for Travel 3
- Exception Principles..... 3
- Possible Conflict with Labor Agreements or Laws 3
- Geographical Categories 4
- Advance Fund Request and Claims Submission 4
- Prudent Judgment and Common Sense 4

RESPONSIBILITY AND ENFORCEMENT 4

- Traveler..... 4
- Approval Authority Members and Management Team..... 4
- General Manager..... 5
- Chief Financial Officer 5
- Grants Management Unit..... 5

TRAVEL AUTHORIZATION 5

- Obtaining Travel Authorization 5
- Advance Approval Required 5
- Travel On Behalf of a National Association, Board, and/or Committee 6
- Travel to Non-Continental Destinations and International Travel..... 6

Travel Authorization Form	7
Travel Expenses	7
Issuing and Monitoring Travel Advances	7
TRAVEL CLAIMS.....	8
General Guidelines	8
Submitting and Processing of Travel Expense Vouchers.....	8
Reviewing Travel Claims	8
Processing Travel Reimbursements	9
TRANSPORTATION.....	9
General Guidelines	9
Use of Vehicles	9
Personal Vehicle	10
Vehicle of the Fiscal Agent	10
Rental Car	10
MODE OF TRAVEL.....	10
Air Travel	10
Mileage for long distances, employee drives instead of flying	11
Transportation between worksite/home and airport within SF Bay Area	11
Transportation during the travel between airport and hotel / conference site	11
LODGING AND MEALS	12
Lodging	12
Conference Hotel.....	12
Lodging in Excess of Federal <i>per diem</i> Rate	12
City Not on the Continental U.S. (CONUS) <i>per diem</i> Listing	13
Lodging for Travel within Local Commuting Area	13
Meals and Adoption of the Federal Meal and Incidental Expenses (M&IE) Rate ..	13
Federal Domestic Meal & Incidental Expense (M&IE) Rates	14
Federal Departure and Return Day M&IE Rates	14
Conference Provided Meals	14

Incidental Expenses	14
Travel In the Local Commuting Area	15
Day Trips/Same Day Travel (e.g. for Conference, Training, Meeting, etc.)	15
Other Expenses.....	15
Travel Change or Cancellation Fee	15
Business Calls, Fax and Internet Usage	16
Other Reimbursable Expenses	16
Non-Allowable and Non-Reimbursable Costs:	16
QUESTIONS AND ANSWERS.....	17

BAY AREA UASI TRAVEL POLICY

SCOPE OF THIS MANUAL

Policies, Guidelines, and Procedures

This manual provides policies and guidelines for the BAY AREA UASI (BAUASI) and establishes procedures for the Management Team, Approval Authority 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, 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 and requiring overnight stays, no more than four (4) 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 four (4) Management Team employees and no more than 14 travelers from all jurisdictions (for a total of 20) 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, 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 four (4) 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 Approval Authority.

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; and/or
- 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; or,
- To respond to an emergency situation.

Possible Conflict with Labor Agreements or Laws

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

Geographical Categories

BAUASI travel policies cover three geographical categories:

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

Advance Fund Request and Claims Submission

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

Prudent Judgment and Common Sense

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

RESPONSIBILITY AND ENFORCEMENT

Traveler

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

Approval Authority Members and Management Team

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

The policies, guidelines and procedures mentioned below do not preclude more restrictive internal approval procedures which the BAUASI may choose to implement internally to better monitor and control the budget. While this policy places the primary responsibility for travel oversight on the

Chief Financial Officer of the Grants Management Unit, the General Manager and Chair of the Approval Authority may impose additional approval levels or processes.

General Manager

The General Manager establishes common and consistent travel practices as governed by these policies and guidelines. The General Manager 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 Approval Required

If travel includes an overnight stay, airfare, or advanced funds or transportation involving a rental car, advance written approval by the General Manager is required. For Approval Authority Members and employees from other jurisdictions, except those working for 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 General Manager for pre-approval. For in-state and out of state travel, no more than four (4) 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

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

Travel to Non-Continental Destinations and International Travel

If travel includes an overnight stay, airfare, or advanced funds or transportation involving travel to non-continental destinations, advance written request and approval by both the Approval Authority and General Manager is required. 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 travel to non-continental destinations and international travel, no more than four (4) Management Team employees and no more than 14 travelers from all other jurisdictions (for a total of 20 travelers) 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 BAUASI 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; and
 - 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; and
 - 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 (2 CFR 200, subsection 474).
5. Upon receipt of all approvals, the sub-recipient shall ensure that all necessary grant modifications are requested from the BAUASI, 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

A travel authorization form must be completed by the employee or traveler. As stated above, all requests for business travel require advance approval by the General Manager and a fiscal review by the Chief Financial Officer. (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 airline 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 BAUASI, or by the traveler or employee subject to reimbursement by the BAUASI, 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. Cash Advance requests should be submitted in PeopleSoft within 30 calendar days from the scheduled travel/training date.

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 through the bi-weekly payroll process. The Grants Management Unit should process the TA document in the fiscal agent's financial accounting system PeopleSoft allowing sufficient time for check issuance. TAs must be liquidated in PeopleSoft within ten (10) business days of return from travel. The Grants management Unit is responsible for monitoring advances and following up with employees to ensure advances are liquidated within this time frame.

If a TA is not liquidated within in ten (10) business days after the employee returns from travel, the funds will be recovered through a payroll offset of the employee's salary and the employee will not be eligible for TAs for a minimum of two years from the date of the offset. Additionally, an employee may only have one TA open at a time.

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, an 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

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 ten (10) days if a TA was issued. Complete expense reimbursement requests or travel liquidations must be fully supported by original receipts and forwarded to the Grants Management Unit. Reimbursement requests with incomplete documentation will be denied. Expense reimbursement must be completed and processed in PeopleSoft within 90 days.

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 purposes and the duration does not exceed official business trip requirements;
- Reviewing and auditing for compliance with the BAUASI 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; and
- Processing reimbursements in the PeopleSoft financial system within 90 days from return of business travel.

Processing Travel Reimbursements

Travel and other employee reimbursements will be processed in the City's financial system (PeopleSoft Expenses Module). Employee reimbursements will be paid through PeopleSoft HCM payroll on a biweekly basis. Reimbursements will be processed and deposited on an alternate Tuesday separately from the regular payroll paydays.

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 PeopleSoft 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 (San Francisco Administrative Code Section 10.28-1), 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, 2017, the IRS standard mileage rate for business use of an automobile is 53.50 cents per mile.

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

Vehicle of the Fiscal Agent

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

Rental Car

The cost of a rental car is reimbursable if it was pre-approved in writing, by the General Manager, on the Travel Authorization form. The pre-approval request must include:

- (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 a standard compact size vehicle. A midsize vehicle is reimbursable if use is for three people or more, justification provided, and pre-approved in writing by the Chief Financial Officer. Pre-paid fuel for re-filling the gas tank on the rental car is not reimbursable. Employees must submit fuel receipts for actual mileage. 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 the airline charges for checked luggage, only the cost of the first checked bag will be reimbursed. 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 travelers or employees 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, taxi or shuttle.
- 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 \$18 per day, up to \$120 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

The travel reimbursement policy with regards to transportation between and airport and hotel/conference site is as follows:

- 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, the maximum reimbursement for overnight hotel parking is limited to the lowest available rate.

LODGING AND MEALS

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 GSA (General Services Administration) *per diem* rate for lodging or the rate used by the home jurisdiction of the traveler or employee. 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 GSA *per-diem* 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.

Federal domestic and foreign lodging, maximum travel *per diem* allowances, meals and incidental expense breakdown are available from the U.S. General Services Administration website: www.gsa.gov.

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 the single room rate.

Conference Hotel

- If conference hotel lodging rates exceed the federal rate, actual expenses will be reimbursed when documentation of the conference lodging rate and a receipt are provided.
- 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 reimbursement up to the conference hotel rate only. If there are multiple conference hotels with a range of rates, the maximum reimbursement for the overflow hotel is up to the highest rate among the published conference hotels.
- For hotels not listed in the conference material, reimbursement will be for actual expenses, with the maximum up to the conference hotel rate or the GSA rate, whichever is lower.
- Required documentation of the conference lodging rate includes a 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.
-

Lodging in Excess of Federal *per diem* Rate

In situations where an employee is unable to find lodging at the GSA rate, or business circumstances require employee to stay in a hotel that exceeds the federal *per diem* rate (e.g.

lodging during a special event), 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 the employee obtained the “Government Rate” and the rate is reasonable, not to exceed one and a half times the federal *per diem* rate.
-

If these requirements are not met, the reimbursement will be reduced to 1.5 times the federal *per diem* rate.

City Not on the Continental U.S. (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 is a link to the National Association of Counties-County Search (<http://www.naco.org/counties/pages/citysearch.aspx>) which can help determine the county in which a destination is located.

- 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; refer to <https://www.gsa.gov/portal/content/104877> for the current CONUS rates for lodging, meals, and incidentals.

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.

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)	\$ 51	\$ 54	\$ 59	\$ 64	\$ 69	\$ 74
Continental Breakfast/Breakfast	\$ 11	\$ 12	\$ 13	\$ 15	\$ 16	\$ 17
Lunch	\$ 12	\$ 13	\$ 15	\$ 16	\$ 17	\$ 18
Dinner	\$ 23	\$ 24	\$ 26	\$ 28	\$ 31	\$ 34
Incidentals	\$ 5	\$ 5	\$ 5	\$ 5	\$ 5	\$ 5

The first and last day of travel *per diem* is reimbursed at 75% of the regular GSA rate. The Table below lists the GSA's *per diem* amount employees receive on the dates of the departure (first travel day) and their return (last travel day).

Federal Departure and Return Day M&IE Rates

M&IE RATE (FULL DAY) <i>per diem</i>	FIRST & LAST DAY OF TRAVEL <i>per diem</i>
\$51	\$38.25
\$54	\$40.50
\$59	\$44.25
\$64	\$48.00
\$69	\$51.75
\$74	\$55.50

Conference Provided Meals

- If one or more meals are included as part of a conference registration fee, only the remaining meals and incidental expense rate from the above chart may be charged. 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.

Incidental Expenses

The \$5 Incidental *per diem* is paid for every day of the trip, including travel days. This amount includes expenses for:

- 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 the nine Bay Area counties.

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

- There is no meal *per diem* for day trips or same day travel.

Other Expenses

Other expenses associated with and incurred in the performance of 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; and/or
- 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 fees 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 General Manager in order for a 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 the use of the credit and ensuring the use is for authorized official business travel only.
 - (b) If booked on-line directly by the employee, the City will reimburse for the cancellation fee if a justifiable business reason for cancellation is provided and approved by the Chief Financial Officer. The City will not reimburse the employee 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 must be documented.
- Identify all business internet charges, business calls, faxes, etc. on the hotel bill.

Other Reimbursable Expenses

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

- Ground Transportation (to or between the employee's work site and airport, bus station, train depot and the meeting or lodging site and return);
- Parking fees, MUNI, BART, and Bridge tolls; and
- Necessary business charges like: telephone charges, copying charges, and business-related internet access charges.

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 Chief Financial Officer. 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 <i>per diem</i> rate.• Lodging other than "standard" room rate. Upgrades are not reimbursable.

	<ul style="list-style-type: none"> • 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 General Manager or provided for in employee MOU. • Unjustified meal expenses in lieu of conference provided meals. • Alcoholic beverages.
Other Expenses	<ul style="list-style-type: none"> • Boarding cost of pets; additional daycare costs for children during business travel. • Excessive phone calls from hotels when traveling. • Personal laundry/dry cleaning for trips less than 7 days. • Upgrades

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 the 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 my 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 the 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 overflow 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 the 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. The GSA website has a link to the National Association of Counties which can help determine the county in which a destination is located. 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; refer to <https://www.gsa.gov/portal/content/104877> for the current CONUS rate for lodging, meals, and incidental expenses.

Q: Can the BAUASI pay an employee’s family/friends for lodging or other expenses when employee stays with family/friends 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 meals, etc.

A: No.

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

A: Generally no; an exception can be given if written justification is provided and approved by the General Manager and the Chief Financial Officer.

Q: Can I claim meal per diem if the event only provides hors d’oeuvres/appetizers during a reception and not a complete meal?

A: The *per diem* can be requested only if the employee certifies in writing that only drinks and hors d’oeuvres/appetizers were provided.

Q: When traveling between cities, and the employee has a meal during transit through an airport, what per diem rate should be used?

A: The employee should use the destination city’s *per diem* rate.

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

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

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

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

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

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: An employee or traveler may combine personal travel with business travel when pre-approved in writing by the Chief Financial Officer. The BAUASI is responsible only for the official business portion of the trip. When travel on business is extended for personal reasons, before, in between, and/or after official business travel, no personal expenses can be included on the travel expense voucher claim form. The employee or traveler must obtain a quote from an 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 is the guideline for giving tips?*

A: For tips not covered by the GSA incidentals *per diem*, the amount should generally be 15%.

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

A: It 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.

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, either an odometer reading, or a printout from an automated mapping program are acceptable by the Grant Management Unit, as long as the mileage is reasonable.

C-1. Statement of Incompatible Activities



Edwin M. Lee
Mayor

Department of Emergency Management

1011 Turk Street, San Francisco, CA 94102

Division of Emergency Communications
Phone: (415) 558-3800 Fax: (415) 558-3843

Division of Emergency Services
Phone: (415) 487-5000 Fax: (415) 487-5043



Anne Kronenberg
Executive Director

DEPARTMENT OF EMERGENCY MANAGEMENT STATEMENT OF INCOMPATIBLE ACTIVITIES

I. INTRODUCTION

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

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

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

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

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

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

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

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

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

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

II. MISSION OF THE DEPARTMENT OF EMERGENCY MANAGEMENT

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

III. RESTRICTIONS ON INCOMPATIBLE ACTIVITIES

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

A. RESTRICTIONS THAT APPLY TO ALL OFFICERS AND EMPLOYEES

1. ACTIVITIES THAT CONFLICT WITH OFFICIAL DUTIES

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

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

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

2. ACTIVITIES WITH EXCESSIVE TIME DEMANDS

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

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

3. ACTIVITIES THAT ARE SUBJECT TO REVIEW BY THE DEPARTMENT

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

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

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

B. RESTRICTIONS THAT APPLY TO EMPLOYEES IN SPECIFIED POSITIONS

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

[RESERVED.]

C. ADVANCE WRITTEN DETERMINATION

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

1. PURPOSE

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

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

brought pursuant to this Statement.

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

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

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

2. THE DECISION-MAKER

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

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

3. THE PROCESS

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

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

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

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

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

4. DETERMINATIONS ARE PUBLIC RECORDS

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

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

A. USE OF CITY RESOURCES

No officer or employee may use City resources, including, without limitation, facilities, telephone, computer, copier, fax machine, e-mail, internet access, stationery and supplies, for any non-City purpose, including any political activity or personal purpose. No officer or employee may allow any other person to use City resources, including, without limitation, facilities, telephone, computer, copier, fax machine, e-mail, internet access, stationery and supplies, for any non-City purpose, including any political activity or personal purpose. Notwithstanding these general prohibitions, any incidental and minimal use of City resources does not constitute a violation of this section. Nothing in this subsection shall be interpreted or applied to interfere with, restrict or supersede any rights or entitlements of employees, recognized employee organizations, or their members under state law or regulation or pursuant to provisions of a collective bargaining agreement to use City facilities, equipment or resources, as defined herein.

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

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

limitation, the Department's e-mail policy.

B. USE OF CITY WORK-PRODUCT

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

C. USE OF PRESTIGE OF THE OFFICE

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

1. USING CITY BUSINESS CARDS

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

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

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

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

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

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

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

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

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

V. PROHIBITION ON GIFTS FOR ASSISTANCE WITH CITY SERVICES

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

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

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

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

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

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

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

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

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

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

VI. AMENDMENT OF STATEMENT

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

ANNEX E- BAY AREA UASI DIVISION CONTINUITY OF OPERATIONS PLAN (COOP)

DRAFT _ MARCH 2017



March 2017

ANNEX TO CCSF DEM CONTINUITY OF OPERATIONS PLAN

TABLE OF CONTENTS

ANNEX E – BAY AREA URBAN AREAS SECURITY INITIATIVES (UASI) DIVISION	1
I. INTRODUCTION.....	1
II. ESSENTIAL FUNCTIONS.....	2
III. BAY AREA UASI ORGANIZATIONAL CHART	3
IV. ORDER OF SUCCESSION.....	4
V. DELEGATIONS OF AUTHORITY	4
VI. NOTIFICATION PROCEDURES AND PERSONNEL	5
VII. THE ADVANCE ELEMENT TEAM.....	7
VIII. ALTERNATE FACILITIES	9
IX. VITAL RECORDS/DATABASES.....	9
X. MISSION CRITICAL SYSTEMS.....	11

APPENDIX A: UASI DIVISION OFFICE EMERGENCY PROCEDURES MANUAL

APPENDIX B: UASI DIVISION STAFF NOTIFICATION PHONE-TREE CHART

APPENDIX C: UASI DIVISION EMAIL NOTIFICATION SAMPLE

APPENDIX D: UASI DIVISION EMERGENCY TELECOMMUTING POLICY AND PROCEDURES



ANNEX E – BAY AREA URBAN AREAS SECURITY INITIATIVES (UASI) DIVISION

I. INTRODUCTION

This Bay Area UASI Division Continuity of Operations Plan (COOP) Annex (plan) is part of the City and County of San Francisco (CCSF) Department of Emergency Management’s (DEM) COOP. This plan explains the functions, operations, and resources necessary to ensure the continuation of CCSF DEM’s Bay Area UASI Division’s essential functions in the event its normal operations are disrupted or threatened with disruption. This plan can be used to provide guidance on the allocation of resources including the reassignment of personnel, use of alternate facilities, and use of administrative and management support. This plan will allow for quick access to critical information for the Bay Area UASI Division, allowing the Division to operate as an individual entity during COOP activations, while still maintaining cohesion under CCSF DEM as a department.

- The overarching key objectives of this plan are to:
- Ensure the safety of the Bay Area UASI Division employees
- Maintain management and control of the organization’s goals
- Provide for the line of succession to critical management and technical positions
- Provide direction to staff during emergencies
- Reduce disruptions to operations
- Protect critical facilities, equipment, records, and other assets
- Maintain internal and external essential communications
- Assess and minimize damages and losses
- Facilitate decision-making during an emergency
- Achieve an orderly recovery from emergency operations
- Provide plans for restoring or reconstituting regular activities

This plan can be activated in its entirety or in parts and applies to all Bay Area UASI Division personnel. Bay Area UASI staff must be familiar with continuity policies and procedures and their respective continuity roles and responsibilities. Additionally, the Bay Area UASI staff is responsible for fulfilling personal preparedness goals as outlined in Appendix A. This plan ensures the Bay Area UASI Division is capable of conducting its essential missions and functions under all threats and hazards.



II. ESSENTIAL FUNCTIONS

Essential functions in the CCSF DEM COOP are defined as Categories 1 and 2. Category 1 describes functions that cannot be disrupted. Category 2 describes functions that can be discontinued for under 12 hours before they are resumed. The Bay Area UASI Division does not have mission critical Category 1 functions. The following matrix identifies the positions responsible for Category 2 functions in order of priority.

Category 2 Functions		Responsible Party(s)
1	Grants Management	Chief Financial Officer
2	Program Management and Fiscal Project Monitoring	Regional Program Manager
3	Office Administration	Regional Grants Manager

The Chief Financial Officer and the Grants Contract Specialist are identified as essential staff to continue operation of Category 2 functions. They are designated as mandatory staff needed to perform the essential fiscal obligations and duties of the UASI Management Team are executed.

During activation of this plan, all other activities may be suspended to enable the Bay Area UASI Division to concentrate on providing critical functions and building internal capabilities necessary to increase and eventually restore operations. Communication with regular and/or expected users of such services shall be a priority.

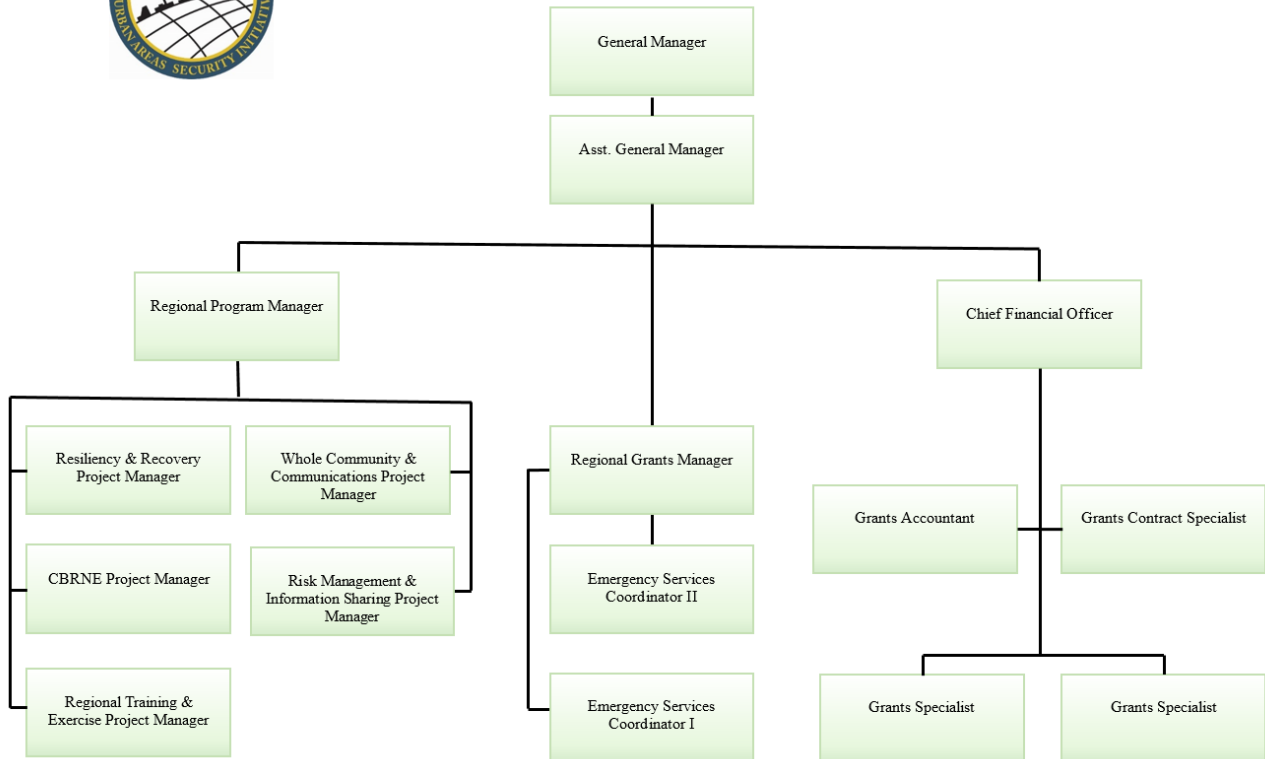


III. BAY AREA UASI ORGANIZATIONAL CHART

The Bay Area UASI organizational chart is below and point-of-contact details can be found in Appendix B.



Bay Area UASI 2017 Organization Chart





IV. ORDER OF SUCCESSION

Pre-identifying orders of succession for staff members who will make overall organizational decisions during an emergency is critical to ensure effective leadership decision making. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision-making authority. The order of succession for the Bay Area UASI Division is as follows:

Key Department Position	Lines of Succession
1. General Manager	1. Assistant General Manager 2. Chief Financial Officer 3. Regional Program Manager
2. Assistant General Manager	1. Chief Financial Officer 2. Regional Program Manager 3. Regional Grants Manager
3. Chief Financial Officer	1. Regional Program Manager 2. Regional Grants Manager 3. Grants Contracts Specialist

V. DELEGATIONS OF AUTHORITY

In the event that some members of the Bay Area UASI Management Team leadership are unavailable during an emergency, the Bay Area UASI Division has developed a set of procedures to govern delegations of authority.

These procedures ensure that there is adequate coverage when individuals are rendered unable to perform their duties. It provides measures that assign replacements to fill vacancies, thereby fulfilling the requirements of continuity of operations provisions.

Delegations of authority specify who is authorized to make decisions or act on behalf of the division. Delegations of authority are used for specific purposes during COOP emergencies, including:

- Approving emergency policy changes
- Approving changes to office policies, protocols and/or in Standard Operating Procedures (SOPs)



- Making personnel management decisions
- Approving commitment of resources
- Signing contracts

Explicit emergency authority has been pre-delegated to ensure that Bay Area UASI Division staff identified in the leadership Order of Succession in Section IV are aware of their responsibilities and are appropriately authorized to execute functions assigned to them. Delegations of authority outline exceptions that may exist in one position assuming the role of another position and is as follows:

Position	Assumed Role	Exceptions
Assistant General Manager	General Manager	No exceptions
Chief Financial Officer	General Manager	Per CCSF internal control requirements, a counter signature to the CFO from non-fiscal personnel must be obtained. Therefore, a counter signature from the Regional Program Manager level or above is needed on all finance approval documents.
Regional Program Manager	General Manager	No exceptions

VI. NOTIFICATION PROCEDURES AND PERSONNEL

The plan will be implemented based on known or anticipated threats and emergencies that may occur with or without warning.

Warning: There are some threats to normal operations that may afford advance warning that will permit the orderly alert, notification, evacuation, and if necessary, the relocation of staff and operations.

No warning during non-operating hours: Incidents may not be preceded by warnings (e.g. earthquakes, arson, terrorist incident or hazardous materials incidents) or may occur while a majority of personnel are at home (weekends and evenings). In these circumstances, personnel and pre-identified members will still be able to respond to instructions, including the requirement to relocate following proper notification.



No warning during office hours: Incidents may occur without warning during normal office hours. If indicated by the circumstances of the event, this plan will be implemented by expeditiously moving staff, volunteers and others out of the building, to alternative operating locations.

In the event normal operations are interrupted or cannot be conducted at the Bay Area UASI office building, the General Manager is responsible for assessing Bay Area UASI Division’s staff status and deciding on the following:

- Activation of the Division’s COOP-COG
- Institution of emergency telecommuting policy
- Relocation of office operations to an alternate facility
- Deployment of the Division’s Advance Element Team
- Staff assignment to CCSF’s DEM EOC or to CCSF’s DSW duties, if activated.

The Bay Area UASI Division’s General Manager will subsequently notify the Assistant General Manager of the aforementioned decisions. The Assistant General Manager will ask the Emergency Services Assistant to send a message to all staff using Everbridge, and/or activate the Division’s phone tree and/or email (see Appendix B). The Assistant General Manager will establish a schedule to provide status updates via the Division’s phone tree and/or email notification procedures until alternate COOP-COG staffing plans are determined.

Notification	Method/System used for Notification
Regional Grants Manager consults with General Manager or the Assistant General Manager	Phone/email
Regional Grants Manager delegates to the Emergency Services Assistant to notify all Bay Area UASI Division staff or notifies all Bay Area UASI Division staff	Everbridge/phone/email

Notification can be done via Everbridge, or phone, email, and text message. The Bay Area UASI Division staff point-of-contact details can be found in Appendix B.



Bay Area Region Outside Agency Notification

Depending on the needs of the situation, the Bay Area UASI General Manager will determine what outside stakeholders need to be notified. The Bay Area UASI may notify appropriate stakeholders in the Bay Area region such as the members of the Approval Authority, sub-recipients, and workgroup members. The Bay Area UASI General Manager will determine what notification is necessary and may consider the following details:

- The Bay Area UASI Division alternate emergency office location(s) and point-of-contact details at 24 hours, 72 hours and one week intervals
- Confirm all fiscal paperwork and reimbursement procedures remain intact or notify of alternate procedures
- Cancel Brown Act and other identified meetings as appropriate

The notification process will be as follows:

Notification	Method/System used for Notification
General Manager notifies all UASI Approval Authority members	Email
Chief Financial Officer notifies all fiscal points-of-contacts for sub-recipients	Forward General Manager’s email
Regional Program Manager notifies all Bay Area Operational Area OES managers and work group members	Forward General Manager’s email

A sample of the email notification can be found in Appendix C.

VII. THE ADVANCE ELEMENT TEAM

An Advance Element Team is a restructured team with minimal but essential staff to continue operations for at least two weeks. In order to continue its essential functions, the Bay Area UASI Division has determined the following staff positions will constitute the Advance Element Team who will need to relocate under COOP activation:



Position Title	Advance Element Team Responsibilities
General Manager	Manage necessary situational awareness during transition and follow notification procedures (Section V). Determine which staff members may be released to CCSF’s DEM Emergency Operations Center (EOC) or to Disaster Service Worker (DSW) assignments and notifies staff accordingly.
Assistant General Manager	If needed, coordinate set-up of alternate office facility and provide staffing needs or activate notifications of telecommute policy and procedures.
Chief Financial Officer	Coordinate establishment of information technology systems, and servicing of vendors and regional stakeholders from alternate office facility or using telecommute policy and procedures
Regional Program Manager	Assist in set-up of alternate office facility or execution of telecommute policy and procedures and provide for staffing needs. Establish communications with stakeholders per Section V: Bay Area region outside agency notification
Regional Grants Manager	Coordinate reconstitution of home office staff to ensure smooth and expeditious return to normal services
Grants Contracts Specialist	In coordination with the Chief Financial Officer, provide grants management and contract management services to stakeholders and vendors.

Upon establishment of the Advance Element Team at the alternate office facility and initiation of essential functions, the Bay Area UASI Division’s General Manager in consultation with DEM leadership will decide when and which members of the team may be reassigned to CCSF’s DEM EOC. Bay Area UASI Division General Manager will notify UASI staff members and the CCSF’s DEM’s Department of Emergency Services (DES) Deputy Director of UASI staff availability for CCSF’s DEM EOC assignments.

Other Bay Area UASI Division staff, including regional project managers and grants specialists who are CCSF employees may be reassigned to the CCSF DEM Department of Emergency Services or assigned to CCSF’s DSW duties, if and



when the DSW program is activated.

CCSF will notify CCSF employees of the DSW program activation via the radio stations KNBR (680 AM), KCBS (740 AM and 106.9 FM), and KGO (810 AM) and will provide specific instructions. Bay Area UASI Division staff on secondment from other jurisdictions will report to their home jurisdictions.

VIII. ALTERNATE FACILITIES

During normal business hours, the Bay Area UASI Division has designated continuity facilities as part of its COOP and has prepared personnel for the possibility of unannounced relocation to the site(s) to continue performance of essential functions. The sites selected as alternate facilities must be able to be operational within 12 hours of COOP activation and sustain performance of essential functions for up to 30 days. Each of these facilities is maintained on a regular basis. The telecommute policy may also be activated (see Appendix D).

Facility Name	Facility Address	Agreement Type and Date	Annual Cost	Comments
DEM	1011 Turk Street, SF, CA 94102	To be determined	N/A	
DEM-DES Offices	30 Van Ness Ave, Suite 3300 SF, CA 94102	To be determined	N/A	

The process for executing use of the alternate facilities is:

1. Send Advanced Team to alternate facility
2. Notify all Bay Area UASI Division staff
3. Execute Section V: Bay Area region outside agency notification as needed

In the event either of the two designated alternate facilities are unavailable, all Bay Area UASI Division staff will plan on telecommuting in order to fully perform assigned duties. The Bay Area UASI Division staff will need a personal computer with Virtual Private Network (VPN) access to the office network and phone connectivity to telecommute.

IX. VITAL RECORDS/DATABASES

Vital records refers to information systems and applications, electronic and hard copy documents, references, and records, to include classified or sensitive data, needed to support mission essential functions during a continuity event. The Bay



Area UASI Division has identified the following documents as vital records:

- Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)
- Contracts
- By-laws
- Financial records
- Department of Homeland Security and California Office of Emergency Services grant documents

Within 12 hours of activation and when infrastructure supports it, the Advance Element Team personnel at the alternate office facility for the Bay Area UASI Division should have access to the appropriate tools for accessing vital records, including:

- A local area network
- Electronic versions of vital records
- Supporting information systems and data
- Back up external hard drive
- Internal and external email and email archives
- Paper copies of vital records

These vital records are stored in the following locations:

Vital Record	Type	Format	Location	Back-up freq.	Responsible Person
Finance/grants management records	Financial	Paper/ Electronic	711 Van Ness, SF / City IT network	Daily	Chief Financial Officer
Project management records	Management	Paper/ Electronic	711 Van Ness, SF / City IT network	Daily	Regional Program Manager
Administrative management records	Administrative	Paper/ Electronic	711 Van Ness, SF / City IT network	Daily	Emergency Services Coordinator

The respective vital records can be accessed using existing username and password credentials established by Bay Area UASI Division staff to log into their regular office workstations.



X. MISSION CRITICAL SYSTEMS

There are three mission critical systems for the Bay Area UASI Division. The Bay Area UASI Division computer network drives contain all the division’s files and records used for daily operations and are critical for executing the division’s mission. PeopleSoft is used by the UASI Division’s grants management staff to execute the division’s grants management functions. The Bay Area UASI Division’s website with WebGrants, its grants management module, provides an important means for the Bay Area UASI to share information with its stakeholders and additionally assists in managing its grants management functions. WebGrants allows stakeholders to submit documentation electronically versus post-mailing hard copy documents, and also allows stakeholders to independently check the status of their reimbursement claims processing. Access to these critical systems at alternate office facilities or remotely during Bay Area UASI Division COOP activations will enable Bay Area UASI Division staff to continue executing the division’s key missions.

Additional details about the mission critical systems for the Bay Area UASI Division are as follows:

System Name	Current Location/Responsible Party	Other Locations
PeopleSoft (F(FAMI(FAMIS))	San Francisco Controller’s Office – Local Area Network	To be determined by the San Francisco Controller’s Office
Bay Area UASI website and grants management system module	Website: vendor: WowRack, Seattle, WA Grants Management module: vendor Dulles Technology Partners, Inc., various locations	To be determined by the Bay Area UASI Division
Network U drive	Local Area Network	To be determined by CCSF DEM IT department



Appendix A:

UASI Division Office Emergency Preparedness Manual



EXECUTIVE SUMMARY

Purpose

The goal of this manual is to document and assist in implementing emergency procedures for the Bay Area Urban Areas Security Initiative (UASI) Division office and staff. The UASI Emergency Services Assistant * (aka Office Administrator, Appx B) is responsible for maintaining this Office Emergency Preparedness Manual, replenishing office supplies and implementing twice a year training and/or related drills for the UASI staff to support the procedures set forth in this UASI Emergency Preparedness Manual.

**In the absence of the Emergency Services Assistant, the Website Administrator (aka Emergency Services Coordinator, Appx B) will carry out these responsibilities.*

How To Use this Manual

The manual focuses on response procedures for medical, fire, electrical power, explosives, and other Bay Area emergencies that may impact the Bay Area UASI Division office and staff safety. As a centralized source of emergency information, this manual contains critical contacts, maps, and several checklists for accounting for staff during emergencies and documenting completion of staff safety training.

Documentation Template

This manual also includes a few templates that can be utilized to document incidents and guide you through response. These templates are meant to provide guidance when responding to a medical emergency or a bomb threat. The templates provide a checklist of key information that the designated office Emergency Services Assistant should address when responding to an emergency. In addition this manual provides direct links to information on how to fill in a personal preparedness plan.

Training

This manual does not contain instructions on how to conduct evacuation and earthquake drills, that information can be found in the corresponding Emergency Procedures Training Manual. The Emergency Services Assistant will provide evacuation and earthquake drill information and conduct training. However, this manual does include UASI office floor plan maps to assist with evacuation and earthquake drills and a form to document completion of staff safety training.



EMERGENCY PERSONNEL NAMES AND PHONE NUMBERS

Make sure to dial "91" before any phone number if calling from any office desk phone.

DESIGNATED RESPONSIBLE OFFICIAL (Highest Ranking Manager at 711 Van Ness Ave. site):

Name: Craig Dziedzic Phone: (415) 353-5221 Cell: [REDACTED]

Primary Contact: EMERGENCY SERVICES COORDINATOR (office administrator):

Name: Anthony Perez Phone: (415) 353-5223 Cell: [REDACTED]

Secondary Contact: Emergency Services Coordinator

Name: Ethan Baker Phone: (415) 353-5232 Cell: [REDACTED]

ASSISTANTS TO PHYSICALLY CHALLENGED (If applicable):

Name: _____ Phone: _____

Name: _____ Phone: _____



OFFICE PREPAREDNESS

The office will determine the content of necessary office communal supplies. The Emergency Services Assistant is responsible for identifying a list of necessary office emergency supplies, as well as managing the content and replenishment of these items.

Do your part in helping ensure that the emergency plan and training involves all employees! Gather personal supplies at your desk and make sure everyone knows where communal supplies should be stored. Use this quick guideline to ensure you have the right kind of supplies to keep at our desk.

SUGGESTED INDIVIDUAL SUPPLIES

- Keep up to 3 days' worth of nonperishable food at your desk or in designated kitchen area. Because you'll have a limited supply, the higher-quality foods you eat, the better.

- Examples:

- Peanut Butter
- Whole-wheat crackers
- Canned tuna
- Nuts and trail mixes
- Dried fruits
- Water- 1 gallon/person/day



- Emergency Services Assistant will make sure First Aid kits and emergency supplies are checked on a regular basis to ensure freshness and proper quantity of supplies.

- Essentials:

- First Aid Kit
- Flashlight and Extra Batteries
- Fire Extinguisher
- Manual Can Opener

- Useful:

- Cash
- Blankets
- Radio
- Chargers



Personalize your preparedness kit: Make sure to include important medications and items, such as asthma medication or feminine hygiene products.



PERSONAL PLAN

Trying to get a hold of your loved ones during times of crisis can be stressful and overwhelming, make sure to keep an updated contact plan at your desk. Fill this out here to ensure you have a copy when you need it the most.

Utilize the existing SF72 preparedness tools already in use by many in the City:
<http://www.sf72.org/home>



SF72 Make a Plan

Our meeting spot <i>Where will we meet in an emergency?</i> _____ Location: _____ Address: _____ _____	Out of area contact <i>Who will we check in with, outside the area?</i> _____ Location: _____ Address: _____ _____
My people <i>Identify a group of friends and family with whom you'll coordinate.</i> _____	
Name: _____ Mobile phone: _____ Home phone: _____ Address: _____ _____	Name: _____ Mobile phone: _____ Home phone: _____ Address: _____ _____
Important contacts <i>What other numbers would be handy in an emergency?</i> _____	
Doctor: _____ Pediatrician: _____ Pharmacist: _____ Veterinarian: _____	





EMERGENCY REPORTING AND PROCEDURES

In case of any emergency call 911, **making sure to dial 9-911 if calling from any office desk phone.**

OFFICE SAFETY MAP

Use this map to locate office safety features near you. Includes:

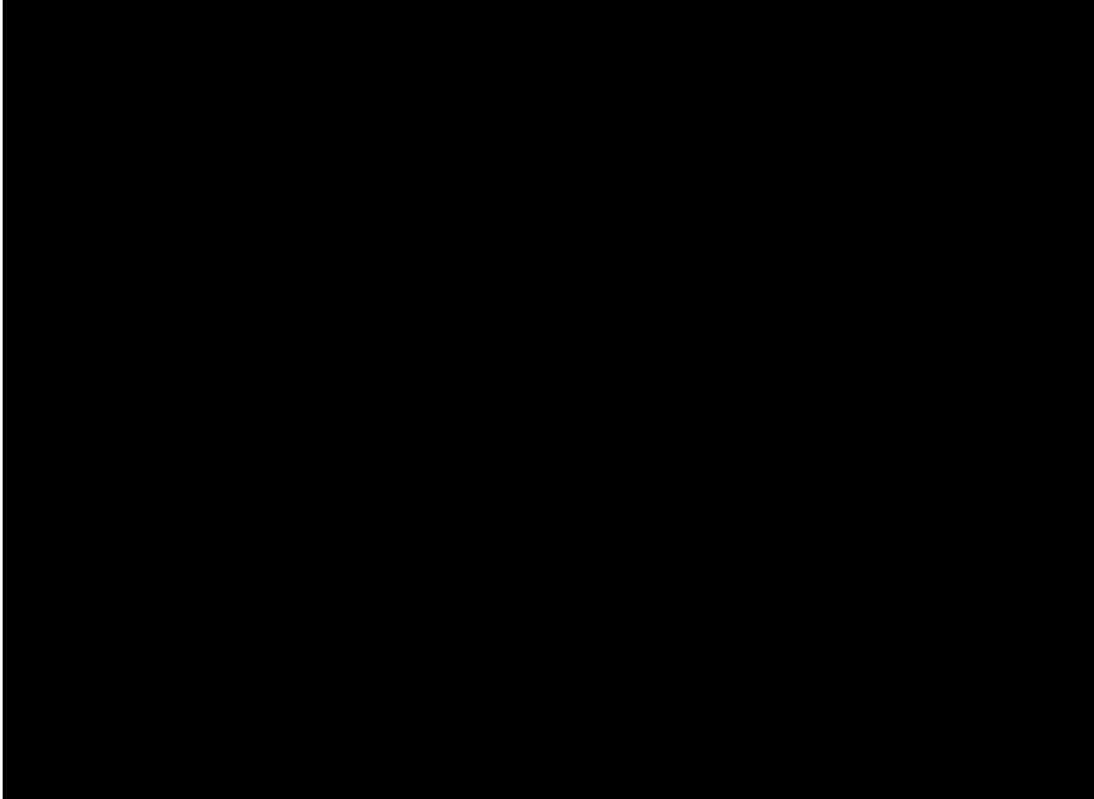
- Doors to exit the office
- Safety equipment locations in case of fire
 - Fire Extinguishers
 - Emergency Button:





BUILDING EVACUATION ROUTE AND PROCEDURES

Site personnel should know at least two evacuation routes. Use these maps to locate the office exists nearest your work space as well as the two emergency stair case locations. Building evacuation route maps have been posted in front of elevator doors.



When an evacuation is necessary, all office employees will exit the building and gather on the corner of Turk/Van Ness. Once role call is complete, using the Reunification Checklist in the following page, all office personnel will walk to the park across the street from the CCSF DEM Administration Office at 1011 Turk St and meet other DEM Administrative staff there. Any emergencies concerning the well-being of UASI staff members will also be reported to CCSF Sheriff's personnel at the 1011 Turk St DEM location.

- Step 1:** Evacuate the office calmly to reduce risk of falling or injury
- Step 2:** Make your way to emergency exits on either end of floor hallway. There is a map directly outside the office doors between the elevator doors showing where emergency staircases are. Do not use elevators in case of emergency.
- Step 3:** Exit building and gather on the corner of Turk and Van Ness
- Step 4:** Check in with the Emergency Services Assistant, or responsible party with the Reunification Checklist, who will record that you are accounted for



A. SHELTERING IN PLACE

Active Shooter

In the event that there is an active shooter threat, staff must be properly trained in how to lock up the office and where to shelter in place.

- Know where all doors are located and how to lock them from the inside as well as the outside.
- When sheltering in place, remain away from windows and doors. Try to remain with others and make minimal noise.

Bio Hazard Event

When sheltering in place for a bio hazard event, follow these easy steps:

- Bring everyone into the office space. Shut and lock the front door.
- Select interior room(s) above the ground floor, with the fewest windows or vents. Close and lock door(s).
 - Designated: Kitchen Area
- Unless there is an imminent threat, ask employees, customers, clients, and visitors to call their emergency contact to let them know where they are and that they are safe.
- Have employees familiar with your building's mechanical systems turn off all fans, heating and air conditioning systems.
- Gather essential disaster supplies.
- Use duct tape and plastic sheeting (heavier than food wrap) to seal all cracks around the door(s) and any vents into the room.
- Use the **Reunification Checklist** to take attendance of everyone in the room.
- Listen to emergency announcements and remain inside until you are told it is safe to evacuate by the appropriate authorities



B. MEDICAL EMERGENCY

When reporting a medical emergency, **call 9-911** remain calm and follow the instructions of the 911 operator. Remember to provide the following information:

- Nature of medical emergency,
- Location of the emergency (address, building, room number)
- Your name and phone number from which you are calling.
- The specifics and conditions of the emergency you are reporting. (i.e. gender, age and condition of person injured, any immediate dangers influencing the situation)

If paramedics are dispatched, how can you help before they arrive?

- Do not move victim unless absolutely necessary.
- If formally trained in CPR and First Aid, personnel may provide the required assistance, with patients consent if conscious, prior to the arrival of the professional medical help
- If personnel trained in First Aid are not available, as a minimum, attempt to provide the following assistance:
 - Stop the bleeding with firm pressure on the wounds with proper safety attire (note: avoid contact with blood or other bodily fluids).
 - Clear the air passages using abdominal thrusts (maneuver commonly known as the “Heimlich maneuver”) in case of choking.



C. FIRE EMERGENCY

Use these fire safety tips to ensure the proper fire response when fire is discovered:

- Activate the nearest fire alarm (if installed)
- Notify 9-911

Fight the fire ONLY if:

- 911 and the Fire Department has been notified.
- The fire extinguisher is in working condition and personnel are trained to use it.
- The fire is small and is not spreading to other areas.
- Escaping the area is possible by backing up to the nearest exit.

Upon being notified about the fire emergency, occupants must:

- Leave the building using the designated escape routes.
- Assemble in the designated area: Corner of Turk and Van Ness.
- Remain outside until fire personnel announce that it is safe to reenter.

The Emergency Services Assistant must:

- Coordinate an orderly evacuation of personnel.
- Perform an accurate head count of personnel reported to the designated area.
- Provide the Fire Department personnel with the necessary information about the facility.

Assistant the Physically Challenged:

- Assist all physically challenged employees in emergency evacuation.



D. EXTENDED POWER LOSS

In the event of extended power loss to a facility certain precautionary measures should be taken:

- The Emergency Services Assistant will notify DEM IT immediately to prevent damage to UASI server room technology.
- Unnecessary electrical equipment and appliances should be turned off in the event that power restoration would surge causing damage to electronics and effecting sensitive equipment.
- Highest Ranking Manager aware of the situation should begin the phone tree mass notification process, see Appendix B in UASI COOP Annex E.
- Staff should plan on going/ staying home, unless otherwise explained by their supervisors.

Upon Restoration of power:

- Inform facility staff who may have been staying away for safety reasons, when all has been restored to normal they may return to work.



E. SEVERE WEATHER AND NATURAL DISASTERS

Earthquake:

- Stay calm and await instructions from the Emergency Services Assistant or the designated official.
- Keep away from overhead fixtures, windows, filing cabinets, and electrical power.
- Assist people with disabilities in finding a safe place.
- Evacuate as instructed by the Emergency Services Assistant and/or the designated official.

Flood:

If indoors:

- Be ready to evacuate as directed by the Emergency Services Assistant and/or the designated official.
- Follow the recommended primary or secondary evacuation routes.

If outdoors:

- Climb to high ground and stay there.
- Avoid walking or driving through flood water.
- If car stalls, abandon it immediately and climb to higher ground.



F. TERRORIST THREAT/ BOMB THREAT TEMPLATE

TELEPHONE BOMB THREAT CHECKLIST

If you are alone when you receive the threat, stay on the phone as long as possible with suspect. Immediately call 9-911 and then Security at (415) 928-2545 and relay information about call.

If you are with someone else, have them call 9-911 while you stay on the phone with the suspect.

If you are the recipient of a bomb threat phone call, please follow the instructions and document the information below. Documentation should be delivered to the Office Administrator, whom will be responsible for it until it reaches authorities. This will be important for future investigation purposes.

Instructions: Be calm, be courteous. Listen. Do not interrupt the caller. Signal to present coworkers to call appropriate authorities while you remain on the phone.

YOUR NAME: _____ TIME: _____ DATE: _____

CALLER'S IDENTITY SEX: Male ___ Female ___ Adult ___ Juvenile ___

APPROXIMATE AGE: _____

ORIGIN OF CALL: Local _____ Long Distance _____

WHEN ON THE PHONE:

PRETEND DIFFICULTY HEARING - KEEP CALLER TALKING - IF CALLER SEEMS AGREEABLE TO FURTHER CONVERSATION, ASK QUESTIONS LIKE:

When will it go off? Certain Hour _____ Time Remaining _____

Where is it located? Building _____ Area _____

What kind of bomb? _____

What kind of package? _____

How do you know so much about the bomb? _____

What is your name and address? _____

If building is occupied, inform caller that detonation could cause injury or death.

Did the caller appear familiar with plant or building (by his/her description of the bomb location)? Write out the message in its entirety and any other comments on a separate sheet of paper and attach to this checklist. Notify your supervisor immediately.

SEE NEXT PAGE FOR MORE GUIDELINES



During or after speaking with the threatening individual, make note of the following characteristics, they may be critical when it comes to identifying the suspect.

VOICE CHARACTERISTICS	SPEECH	LANGUAGE
<input type="checkbox"/> Loud	<input type="checkbox"/> Fast	<input type="checkbox"/> Excellent
<input type="checkbox"/> High Pitch	<input type="checkbox"/> Distinct	<input type="checkbox"/> Fair
<input type="checkbox"/> Raspy	<input type="checkbox"/> Stutter	<input type="checkbox"/> Foul
<input type="checkbox"/> Intoxicated	<input type="checkbox"/> Slurred	
<input type="checkbox"/> Soft	<input type="checkbox"/> Slow	<input type="checkbox"/> Good
<input type="checkbox"/> Deep	<input type="checkbox"/> Distorted	<input type="checkbox"/> Poor
<input type="checkbox"/> Pleasant	<input type="checkbox"/> Nasal	
<input type="checkbox"/> Other	<input type="checkbox"/> Other	<input type="checkbox"/> Other
ACCENT	MANNER	BACKGROUND NOISES
<input type="checkbox"/> Local	<input type="checkbox"/> Calm	<input type="checkbox"/> Factory
<input type="checkbox"/> Foreign	<input type="checkbox"/> Rational	<input type="checkbox"/> Machines
<input type="checkbox"/> Race	<input type="checkbox"/> Coherent	<input type="checkbox"/> Music
<input type="checkbox"/> Not Local	<input type="checkbox"/> Deliberate	<input type="checkbox"/> Office
<input type="checkbox"/> Region	<input type="checkbox"/> Righteous	<input type="checkbox"/> Machines
	<input type="checkbox"/> Angry	<input type="checkbox"/> Street
	<input type="checkbox"/> Irrational	<input type="checkbox"/> Traffic
	<input type="checkbox"/> Incoherent	<input type="checkbox"/> Trains
	<input type="checkbox"/> Emotional	<input type="checkbox"/> Animals
	<input type="checkbox"/> Laughing	<input type="checkbox"/> Quiet
		<input type="checkbox"/> Voices
		<input type="checkbox"/> Airplanes
		<input type="checkbox"/> Party
		<input type="checkbox"/> Atmosphere



REUNIFICATION ATTENDANCE CHECKLIST

Use this Reunification Checklist to ensure that all office employees are accounted for during an emergency. The Office Administrator is responsible for bringing this employee list from the office and will conduct a role call to ensure everyone is present and accounted for. If anyone is missing, the Office Administrator will immediately report this to 911.

	Current Staff	Present	Accounted For	Phone Number	Type	Date
1	Amy Ramirez				Cell	
2	Anthony Perez				Cell	
3	Catherine Spaulding				Cell	
4	Corey Reynolds				Cell	
5	Corinne Bartshire				Cell	
6	Craig Dziedzic				Cell	
7	Ethan Baker				Cell	
8	Janell Myhre				Cell	
9	Mary Landers				Cell	
10	Mikyung Kim-Molina				Cell	
11	Philip White				Cell	
12	Tom Wright				Cell	
13	Tristan Levarado				Cell	
14	Yoshimi Saito				Cell	



TRAINING REQUIREMENTS

Office safety preparedness and training requires reading and implementing the Emergency Procedures Manual, preparing a personal safety plan, and practicing drills for evacuations and earthquakes. The UASI Office Administrator is responsible for ensuring this training is conducted annually.

This form is meant to document that staff have completed the requisite training. Please ensure that employees sign and date their signature upon completion of training.

Location: 711 Van Ness Ave., San Francisco, CA 94102

Name		Completion	Date	Signature
1	Amy Ramirez	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
2	Anthony Perez	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
3	Catherine Spaulding	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
4	Corey Reynolds	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
5	Corinne Bartshire	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
6	Craig Dziedzic	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
7	Ethan Baker	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
8	Janell Myhre	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
9	Mary Landers	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
10	Mikyung Kim-Molina	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		



11	Philip White	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
12	Tom Wright	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
13	Tristan Levarado	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		
14	Yoshimi Saito	<input type="checkbox"/> Earthquake Drill <input type="checkbox"/> Personal Plan Update <input type="checkbox"/> Evacuation Drill		

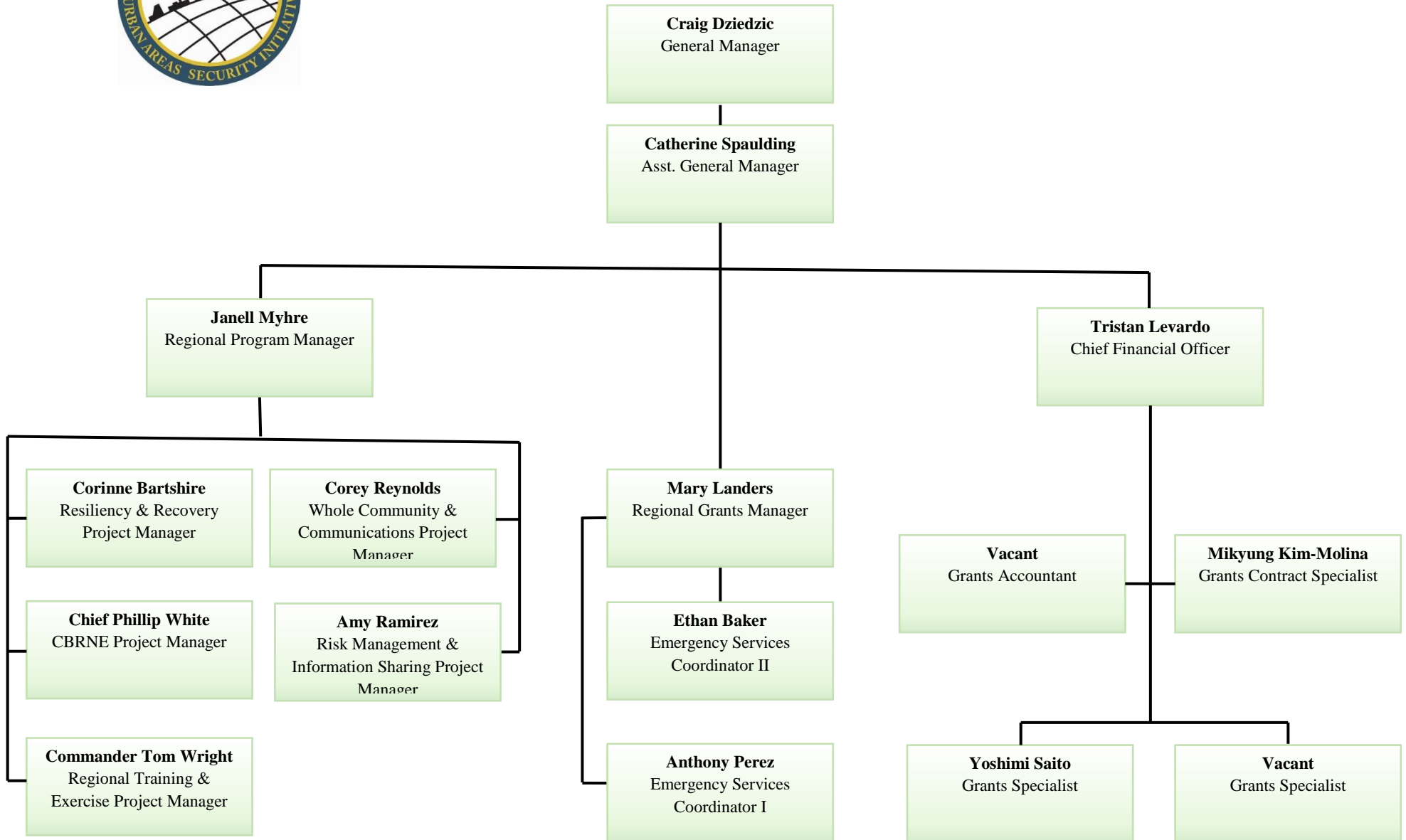


Appendix B:

2017 UASI Division Staff Notification Phone-Tree Chart



Bay Area UASI 2017 Organization Chart





Appendix C:

UASI Division Email Notification Sample



From: Bay Area UASI Division Regional Program Manager or delegated authority designee

To: Bay Area UASI Division staff

Subject: Emergency Notification of disruption of operations at UASI office

To all Bay Area UASI Division staff,

Due to disruption of normal operations at the Bay Area UASI office and inaccessibility of the office building until further notice, per direction from the Bay Area UASI General Manager, all Bay Area UASI Division staff are hereby notified that the following measures and actions will be implemented:

- Activation of the Bay Area UASI COOP-COG
- Institution of the Bay Area UASI emergency telecommuting policy and procedures
- Relocation of office operations to an alternate facility
- Deployment of the Bay Area UASI Advance Element Team
- Assignment of Bay Area UASI staff to the City and County of San Francisco's (CCSF) Department of Emergency Management (DEM) Emergency Operations Center (EOC) or to CCSF's Disaster Service Workers (DSW) duties, if activated
- Bay Area UASI staff on secondment from other jurisdictions will report to their home jurisdictions

Please standby for further notice, which will be forthcoming shortly via email and phone.

Thank you

Assistant General Manager

Bay Area UASI Division



Appendix D:

UASI Division Emergency Telecommuting Policy and Procedures



The Bay Area UASI Division's emergency telecommuting policy will be activated in the event normal operations are interrupted or cannot be conducted at the Bay Area UASI office building. The decision to activate the Division's temporary telecommuting policy and the duration of institution will be made by the Bay Area UASI Division's General Manager or designee who has been delegated authority, if the General Manager is unavailable. The Bay Area UASI Division's emergency telecommuting policy aligns with the Division's telecommuting policy established in the Management Team Policies and Procedures Manual's that permits telecommuting in exceptional circumstances.

Once the decision to activate the Division's emergency telecommuting policy is made by the General Manager or designee with delegated authority, the Division's notification procedure (Bay Area UASI Division COOP-COG Section VI) will be implemented to notify the Division's staff to institute the policy and the duration of institution.

The Bay Area UASI Division has determined that all staff should be able to perform their regular job functions via emergency telecommuting. The Bay Area UASI Division staff will need a personal computer with Virtual Private Network (VPN) access to the office network and phone connectivity to telecommute. The Chief Financial Officer, Regional Program Manager and the Regional Program Manager will continue to remotely manage their respective staff workloads and job assignments, with discretion on implementing measures to ensure staff work assignments are completed. A schedule for staff to check in regularly with their supervisors via phone and/or email may be established and instituted, as appropriate. An all-hands staff meeting for the Division's leadership and staff via conference call may also be scheduled and conducted, as appropriate.

When the Division's General Manager or designee with delegated authority decides to conclude the emergency telecommuting policy, the Division's notification procedure will be implemented to notify the Division's staff with appropriate directions for next steps.

Notes: *Reference documents*

City and County of San Francisco (CCSF) Department of Human Resources: Pilot Telecommuting Policy and Program. Program Guidelines and Participating Packet

CCSF Department of Emergency Management, Department of Human Resources: Guidelines for establishing a telecommuting program.