



**Approval Authority Meeting**  
Thursday, September 12, 2013  
10:00 a.m.

**LOCATION**

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

**AGENDA**

**1. CALL TO ORDER**  
**ROLL CALL**

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

- 2. APPROVAL OF THE MINUTES** (Discussion, Possible Action)  
Discussion and possible action to approve the draft minutes from the August 8, 2013 regular meeting or take any other action related to the matter.  
*(Document for this item includes draft minutes from August 8, 2013.) 5 mins*

- 3. GENERAL MANAGER'S REPORT**  
The General Manager will give an update regarding the following:
- a) Update on Field Monitoring Visits (Discussion)
  - b) 2013 Threat & Hazard Identification and Risk Assessment Process (THIRA) (Discussion)
  - c) Grant Application Update (Discussion)
  - d) Risk Management Asset Updates and Capability Assessment (Discussion)
- (Document for this item is a report from Craig Dziedzic.) 10 mins*

- 4. REPORT FROM THE ADVISORY GROUP** (Discussion, Possible Action)  
Report from the Chair of the Advisory Group. Possible action to approve any recommendation(s) or take any other action related to this matter.  
*(Document for this item is a report from Mike Sena.) 10 mins*

- 5. FY14 PROJECT PROPOSAL GUIDANCE** (Discussion, Possible Action)  
Catherine Spaulding will provide a report on the FY14 project proposal process. Possible action to approve any recommendation(s) or take any other action related to this matter.  
*(Documents for this item are a report and an appendix from Catherine Spaulding.)* 15 mins
- 6. CA STATEWIDE RISK MANAGEMENT PROGRAM** (Discussion, Possible Action)  
Kevin Jensen will provide an update on the California Statewide Risk Management Program. Possible action to support any recommendation(s) or take any other action related to this matter.  
*(Documents for this item are a report and an appendix from Kevin Jensen.)* 15 mins
- 7. UASI INVESTMENTS AND THE ASIANA RESPONSE** (Discussion, Possible Action)  
Rob Dudgeon will provide a report regarding UASI Investments and the Asiana Response. Possible action to support any recommendation(s) or take any other action related to this matter.  
*(Document for this item is an oral presentation from Rob Dudgeon.)* 5 mins
- 8. FY 10 - FY 11 REGIONAL CATASTROPHIC PREPAREDNESS GRANT PROGRAM (RCPGP)** (Discussion, Possible Action)  
Tristan Levarado will provide an update on the FY10 - FY 11 RCPGP. Possible action to support any recommendation(s) or take any other action related to this matter.  
*(Document for this item is a report from Tristan Levarado.)* 5 mins
- 9. UPDATE ON BUDGET REALLOCATIONS UNDER \$250,000** (Discussion, Possible Action)  
Tristan Levarado will provide an update on budget reallocations under \$250,000. Possible action to approve any recommendation(s) or take any other action related to this matter.  
*(Document for this item is a report from Tristan Levarado.)* 5 mins
- 10. REPORT FROM THE BAY AREA REGIONAL INTEROPERABLE COMMUNICATIONS SYSTEM JOINT POWERS AUTHORITY (BayRICS JPA)**  
(Discussion, Possible Action)  
Report from Barry Fraser regarding the BayRICS JPA. Possible action to approve the report or take any other action related to this matter.  
*(Document for this item is a report from Barry Fraser.)* 10 mins
- 11. TRACKING TOOL** (Discussion, Possible Action)  
Review the tracking tool for accuracy and confirmation of deadlines. Possible action to add or clarify tasks for the Management Team or take other action related to the tracking tool.  
*(Document for this item is the UASI Approval Authority Tracking Tool.)* 5 mins
- 12. ANNOUNCEMENTS-GOOD OF THE ORDER**
- 13. FUTURE AGENDA ITEMS** (Discussion)  
The Approval Authority members will discuss agenda items for future meetings.
- 14. GENERAL PUBLIC COMMENT**  
Members of the Public may address the Approval Authority for up to three minutes on items within the jurisdiction of the Bay Area UASI Approval Authority.

## 15. ADJOURNMENT

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

### **Public Participation:**

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

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

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

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

**Disability Access**

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

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



**Bay Area UASI Program  
Approval Authority Meeting  
Thursday, August 08, 2013  
10:00 a.m.**

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

**REGULAR MEETING MINUTES  
DRAFT**

**1. Roll Call**

Vice Chair Lucia called the meeting to order at 10:05 am. Vice Chair Lucia, Members Godley, Domingo, Collins, Guzman, Casten, and Murphy were present. Chair Kronenberg, Members Carlos Bolanos, Ken Kehmna, and Bob Doyle were absent, but their respective alternates Amiee Alden, Jeff Kearnan, David Snow, and Rick Navarro were present. Christopher Helgren was absent. Renee Domingo arrived at 10:09 am.

**2. Approval of the Minutes**

**Motion:** Approve the Minutes from the June 13 Approval Authority meeting.

**Moved:** Member Casten      **Seconded:** Member Collins

**Vote:** The motion passed unanimously

**3. General Manager's Report**

(a) Update on the 2013 Grants Management Workshops

Craig Dziedzic, UASI General Manager, stated that on June 18<sup>th</sup>, 19<sup>th</sup> and 20<sup>th</sup>, the Management Team conducted three regional Grants Management Workshops in the North Bay, East Bay, and South Bay and approximately 100 programmatic/fiscal representatives attended. The Management Team plans to continue holding workshops next year as well as producing online grant training videos hosted on the Bay Area UASI website.

Mr. Dziedzic also announced that the Management Team is researching and gathering grant information to diversify and expand the Management Team's grant portfolio. Mr. Dziedzic

indicated that the Management Team is working with the NCRIC in applying for a competitive Continuing Training Grant program.

(b) Management Team Staff Update

Mr. Dziejczak provided a staff update regarding the Management Team Staff positions. He stated that the Management Team has completed the exempt transition process with the San Francisco Department of Human Resources. The following people were hired in their respective Management Team roles: Jeff Blau was hired as the Interoperability Project Manager; Bruce Martin as the CBRNE Project Manager, Waimen Chee as the Emergency Services Assistant; Ethan Baker as the Emergency Services Coordinator I; Maw Maw Thein Tun as the Grant Accountant and Eliza Lucero, Rey Okamoto, and Emily Wang as Grant Specialists.

(c) UASI National Conference Report

Mr. Dziejczak reported that twenty two people from the Bay Area traveled to Los Angeles for the 2013 National Homeland Security Conference which was held at the Westin Bonaventure Hotel from June 4 – 8. At the conference, a general session on emergency management and natural hazards, specifically earthquakes and hurricanes, provided good information. Bay Area UASI Assistant General Manager, Catherine Spaulding, spoke at the “Assessing UASI Effectiveness” workshop, which was at overflow capacity. Additionally, Mary Landers, along with representatives from the Bay Area and Los Angeles, held a panel discussion on the debris project and presented examples of collaboration and coordination even in a state as large as California.

#### **4. Commendation for Captain Kelly Seitz**

Vice Chair Lucia made a presentation commending Captain Kelly Seitz’s professional public service. Due to Captain Seitz’s absence, the plaque will be delivered to him at a later time.

#### **5. Cyber, Recovery, and Citizen Preparedness Projects**

Catherine Spaulding, Assistant General Manager, requested approval for a proposed allocation of \$776,700 from FY13 UASI. Ms. Spaulding recommended allocating \$405,220 to fund three cyber security analyst positions in the NCRIC, \$254,480 to pay for regional recovery planning and preparation, and \$117,000 to fund Bay72’s regional expansion.

Mike Sena, Director of the NCRIC, reported that the NCRIC currently employs an IT manager and an IT analyst. With the three analysts, who would be used to collect and analyze data, the role of the group would be to expand capabilities in the area of cyber protection and information technology. The Board discussed issues with the funding, privacy concerns from the public and possible backlash from the data collected. Mr. Sena reassured the Board that the positions will be based on the availability of the funds and the capability needs of the region. Mr. Sena also stated that the data collected would only be used for the protection of infrastructure from attacks and he indicated privacy policies would be implemented to protect personal information.

Janell Myhre, Regional Program Manager, proposed using the funds to pay for staff and/or consultant time to gain pre-approval from FEMA for the region's debris management plan so that the regional Operational Areas could increase their reimbursement rate from FEMA from 75% to 80%. She also stated that the funds would be used to assist with the region's Core Cities to develop/support development of a Disaster Recovery Framework and Recovery Support Functions. These tasks will be confirmed and prioritized through further stakeholder consultations and a sub-committee on Recovery established as part of the RCPT workgroup.

Rob Dudgeon, Deputy Director of the San Francisco Division of Emergency Services, indicated that the \$117,000 from FY13 UASI funds would help Oakland, San Jose and one North Bay Operational Area to develop their own locally-tailored sites. Mr. Dudgeon also stated that Bay72 is seeking an additional \$700,000 in funds from the private sector to complete a fully functional website that would include analog and mobile applications. The Board inquired about the status of Bay72 if the additional funds are not secured. Mr. Dudgeon stated that he is confident that they will secure the funds; but if all else fails, the current site would be sufficient for disaster management.

## **6. Northern California Regional Intelligence Center (NCRIC) Domain Assessment**

Elizabeth McCracken, NCRIC Lead Analyst, presented a report on the comprehensive threat picture of the region.

## **7. UASI Memorandum of Understanding and By-Laws**

Alternate Member Amiee Alden stated that the UASI Approval Authority Memorandum of Understanding (the group's governing document), expires on December 1, 2013. Chair Kronenberg had appointed an Ad-Hoc Committee to propose updates to both the current UASI MOU, as well as the By-Laws. The committee met via conference call in June and came up with recommendations to update the MOU and By-Laws.

Ms. Alden stated that the committee discussed changes regarding chairmanship of the Approval Authority as stated in the MOU; Committees and Workgroups of Article V of the By-Laws; Grant Modifications in 8.6 of the By-Laws; and a new effective date for the MOU.

Ms. Alden stated that the committee recommended Part 1 of the Approval Authority MOU and that Article IV of the By-Laws be updated to have leadership of the Approval Authority be held by Co-Chairs, who would share equal authority regarding Approval Authority items. One Co-Chair would be from the same jurisdiction as the UASI Fiscal Agent. The other Co-Chair would be from a different jurisdiction and would be elected annually from among the UASI Members' primary representatives at the December meeting of the Approval Authority. The elected Co-Chair could not serve more than two consecutive one-year terms.

Members Domingo and Godley of the Board disagreed with the idea of having Co-Chairs. Vice Chair Lucia suggested deleting the clause about term limits so that any member could run for Chair. This would also eliminate the need for Co-Chairs. The motion was moved by Member Casten and Seconded by Member Alden. The motion passed with one no vote from Member

Godley. All other proposed changes to the MOU and By-Laws were unanimously approved by the Board.

## **8. Updates to the Management Team Policies and Procedures**

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

- Updates to the organizational chart
- Updated Terms of Reference template for assigned staff
- Addition of a fraud policy

A member of the Board inquired about the Performance Plan and Appraisal Report as well as 360 evaluations. Ms. Spaulding stated that all members of the Management Team use the same performance plan and appraisal template. A formal 360 evaluation process will not be implemented at this time, although management regularly solicits feedback from staff

## **9. Update of FY11 and FY12 UASI Grant Spending**

Tristan Levardo, Chief Financial Officer, stated that the Management Team's project managers have been performing their monitoring duties and have been in touch with the project leads in their sub-recipient jurisdictions. The project managers inquired about the status of the projects and requested documentation on purchase orders, invoices, and pending claims. Mr. Levardo received several verbal confirmations suggesting that most projects are on track for both FY11 and FY12 UASI grants. The claims have reached 46% for FY11 and 9% for FY12.

Mr. Levardo also stated that Santa Clara County returned \$270,000 of its FY11 funds. The South Bay Hub has authorized reallocation of these funds towards next-in-line projects. The Management Team is continuing to verify project spending and shall report any funds for reallocation in the coming months.

## **10. Expenditure Report on Travel**

Mr. Levardo stated that Management Team travel expenses consisted of the 2013 Annual Homeland Security Conference in Los Angeles. The total expenditures by the Management Team, excluding claims not yet submitted by Oakland, Alameda, Marin, Monterey and Contra Costa, were about \$17,000.



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

Barry Fraser, General Manager of the BayRICS JPA, reported on the status of the BayRICS JPA meeting for the months of June and July. Mr. Fraser reported that the Board adopted a budget for the 2013-2014 Fiscal Year; approved a tentative spectrum lease agreement with FirstNET and re-elected Undersheriff Lucia as Chair and State of California Director Karen Wong as Vice-Chair.

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

- The staff conducted meeting with several key stakeholders:
  - Alameda County City Managers Association
  - San Mateo County
  - Pacific Gas & Electric (PG&E)
- PureWave Networks
- Harris Corporation
- BART
- First Responder Network Authority (FirstNet)
- Spectrum Lease Negotiations
- FirstNet Meetings and Activities

## **12. Tracking Tool**

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

## **13. Announcements-Good of the Order**

There were no announcements.

## **14. Future Agenda Items**

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

## **15. General Public Comment**

Vice Chair Lucia asked for general public comment. Upon hearing none, Vice Chair Lucia adjourned the meeting.

The meeting adjourned at 12:00 p.m.



**To: Bay Area UASI Approval Authority**

**From: Craig Dziedzic, General Manager**

**Date: September 12, 2013**

**Re: Item #3: General Manager's Report**

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**Staff Recommendation:** Discussion only.

**Action and/or Discussion Items:** Discussion Only

- a) Update on Field Monitoring Visits (Discussion)
- b) 2013 Threat & Hazard Identification and Risk Assessment Process (THIRA) (Discussion)
- c) Grant Applications Update (Discussion)
- d) Capability Assessment Workshop (Discussion)

**Discussion/Description:**

**(a) Field Monitoring Visits**

The Grants Management Team has begun its grant-mandated field monitoring visits to UASI grant subrecipients. So far the grants management team has visited four jurisdictions, namely Sonoma, San Rafael, Alameda, and Twin Cities Police Authority, with 15 more jurisdictions to cover. The team has been sharing best practices with the various departments and agencies they visited. A comprehensive report will be compiled and presented at the 2014 January Approval Authority meeting.

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

FEMA (Region 9) conducted a three day technical assistance workshop regarding the latest develops involving the THIRA process, which is part of Presidential Policy Directive: National Preparedness.

In 2012, jurisdictions receiving federal UASI grant funds were required to produce a THIRA at the end of the calendar year. Comprehensive Preparedness Guide (CPG) 201 provided

communities with guidance for conducting a THIRA, which included a five step process: (1) Identify the threats and hazards of concern; (2) give threats and hazards context; (3) examine the core capabilities using the threats and hazards; (4) set capability targets; and (5) apply the results.

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

As part of the CA Statewide Risk Management program, Digital Sandbox will be drafting the THIRA for all the CA UASIs that received grant funds similar to 2012. We will be working with Digital Sandbox in using our Capability Assessment Report and other relevant data to update our previous THIRA by the end of December 2013.

### **(c) Grant Applications Update**

As mentioned at the August Approval Authority meeting, the Management Team is seeking grant opportunities that supplement the mission/goals of the Bay Area UASI.

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

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

Additionally we are reviewing Funding Opportunity Announcements (FOAs) for the Hazard Mitigation Grant Program, the Pre-Disaster Mitigation Program and the Flood Mitigation Assistance Program. We also plan to review the FOA requirements for the Securing the Cities (STC) Grant, which should be released in the spring of 2014.

The Securing the Cities (STC) Program is designed to develop coordinated and integrated detection and interdiction of nuclear materials that are out of regulatory control and may be used as a weapon within high-risk metropolitan areas in the United States. Through a federal appropriation, the STC program enacted a \$22 million dollar program with a 5 year performance period. As described in the appropriation, \$20 million was to be awarded to New York City with

the remaining \$2 million awarded to a new STC location beyond New York City. The LA/Long Beach UASI was the recipient of the \$2 million in funds.

**(d) Capability Assessment Workshop**

On August 27, 2013, David Frazer of the Bay Area UASI Management Team hosted a regional capabilities assessment workshop with subject matter and regional experts to assess core capabilities and levels of readiness to meet identified risks. The workshop was conducted in Dublin, CA. The product of this work is a regional gap analysis report showing areas in need of attention and mitigation. We will also be using the data for updating our THIRA.



**To: Bay Area UASI Approval Authority**

**From: Mike Sena, NCRIC Director, Advisory Group Chairperson**

**Date: September 12, 2013**

**Re: Item #4: Advisory Group Report**

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**Recommendations:**

The Advisory Group recommends that the Approval Authority approve the FY14 Project Proposal Guidance.

**Action or Discussion Items:**

At the August 29<sup>th</sup> Advisory Group meeting, UASI Assistant General Manager Catherine Spaulding presented the draft FY14 UASI Project Proposal Guidance. The proposed process is very similar to last year's, with the exception of a streamlined role for the work groups. Work groups will help identify regional gaps and priorities, but there will not be a formal "vetting" discussion of each proposal at the work group level as was conducted in the FY13 process.

Stakeholders can submit proposals from 10/15/13 – 11/15/13. As in prior years, Approval Authority Members will appoint hub members, and hub selection meetings will be coordinated by the Management Team in January 2014. Hubs will prioritize projects using last year's hub allocation as a planning amount. The Advisory Group will review hub selections as well as make recommendations to the Approval Authority for funding of regional (i.e., impacting all 12 counties) and sustainment projects.

The Advisory Group also discussed the updated Master MOU and By-laws approved last month by the Approval Authority. The Advisory Group was taken out of the By-laws to eliminate any formal constraints and to offer more flexibility/independence as a streamlined working group under the General Manager.



**To: Bay Area UASI Approval Authority**  
**From: Catherine Spaulding, Assistant General Manager**  
**Date: September 12, 2013**  
**Re: Item #5: FY14 Project Proposal Guidance**

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**Recommendation:**

Approve the proposal process for the FY14 UASI funding cycle

**Attachments:**

Appendix A: Draft FY14 Project Proposal Guidance

**Discussion:**

The Management Team is pleased to present the draft Project Proposal Guidance for the FY14 UASI funding cycle. As in prior years, this document includes:

- Proposal submission timeline and criteria (page 3)
- Roles of the work groups, hubs, and Advisory Group (pages 4-8)
- Priority capability objectives (page 10)
- Summary timeline (page 14)
- Allowable spending guidelines (page 15)
- Project proposal template (Appendix A)

The FY14 proposal process is virtually identical to last year's with the exception of the role of the work groups.

***Role of the Work Groups***

As directed by the Approval Authority in the March 2013 meeting, the proposal process should be streamlined in order to be more efficient with staff time and minimize regional meetings. Therefore, the UASI Management Team will not formally coordinate a "vetting" discussion of each proposal at the work group level as was conducted in the FY13 process.

However, each work group will discuss key gaps and capability needs of the region and identify projects that can address them. The UASI Management Team will take notes on these discussions and provide a one page summary from each work group to the hub voting members

so that hub voting members may benefit from the subject matter expertise of the work groups. In addition, at their discretion, hub voting members may decide to invite project proposers and other subject matter experts such as work group participants to their deliberation meetings.

### ***All Proposals due November 15<sup>th</sup>, 2013***

As detailed in the draft FY14 Project Proposal Guidance:

- Proposals may only be submitted using an online form to the Management Team from October 15th – November 15th, 2013.
- All proposals – including those using core city and sustainment allocations – must be submitted by the November 15th deadline.
- Upon receipt of the proposals, the Management Team will share them with the appropriate Approval Authority members for review. This review will take place before proposals are distributed to the hubs for prioritization in January 2014.
- UASI jurisdictions that wish to undertake internal vetting processes should do so before the November 15th deadline.
- The Management Team will host a live meeting and webinar on October 3<sup>rd</sup> in Dublin to review the project proposal template, grant requirements, and proposal selection criteria and process.

### ***Allocation of Funding***

The FY14 Project Proposal Guidance states that the Approval Authority will approve specific allocation amounts among the categories of core city allocations, regional/sustainment projects, and hub projects in the next Approval Authority meeting following the announcement of the FY 2014 grant award. Projects within those categories will then be funded in order of priority, as specified by hubs/Advisory Group, and as previously approved by the Approval Authority. This is the same approach as was followed in the FY13 process, in which the Bay Area UASI approved projects to be funded in order of priority in advance of knowing the grant award in order to maximize project implementation time given the 24 month grant effectiveness period. This process also facilitates the funding of next in line priority projects for when additional funds become available during the grant effectiveness period.

### ***Priority Capability Objectives***

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

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AGENDA ITEM # 5

APPENDIX A

PROJECT PROPOSAL  
GUIDANCE FOR  
FISCAL YEAR 2014





**Project Proposal Guidance  
for Fiscal Year 2014**

**(INTERIM)**

September 12, 2013  
DRAFT FOR APPROVAL AUTHORITY REVIEW

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## **APPENDIX A - PROJECT PROPOSAL TEMPLATE**

**This UASI guidance remains interim until such time that the Federal DHS funding allocation and grant guidance is released. It does not include the updated rules governing allowable expenses under the UASI grant for FY 2014 such as personnel costs, etc. In addition, this guidance will be updated in October pending Approval Authority review of the FY14 priority capability objectives.**

## **1. UASI Grant Program Overview**

Since its inception in FY 2003, the intent of the UASI program has been to enhance regional terrorism preparedness in major metropolitan areas by developing integrated systems for terrorism prevention, protection, response, and recovery. The FY 2014 UASI program will likely provide financial assistance to address the unique regional, multi-discipline terrorism preparedness planning, organization, equipment, training, and exercise needs of high-threat, high-density urban areas.

Activities implemented with UASI funds must support terrorism preparedness. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards, including natural disasters and other major accidents. Any FY 2014 Bay Area UASI funded projects must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

## **2. 2014 Federal Budget**

It is expected that Congress will pass the DHS FY 2014 budget by the end of calendar year 2013 and the Department of Homeland Security (DHS) will issue a Funding Opportunity Announcement (FOA) for the Homeland Security Grant Program early in 2014. Earlier passage of the DHS budget is possible and therefore the region must be prepared to initiate its selection of proposals under an earlier and shortened time frame. Details on addressing this contingency will be put forward by the Management Team.

## **3. Bay Area Homeland Security Strategy**

Each year, the Bay Area Urban Area Security Initiative (UASI) conducts a region-wide risk validation analysis and capabilities assessment across the region's twelve counties and three major cities. The outcome of these efforts will result in priority capability objectives, which will be used to guide proposal selection for the FY14 process and will be available in October 2013.

Ultimately, the risk validation and capabilities assessment results in the updated Bay Area Homeland Security Strategy, which is required by the Department of Homeland Security (DHS). The Bay Area Homeland Security Strategy is a comprehensive, data driven document that outlines the Bay Area's risks, capabilities, vision, structure, and goals and objectives for homeland security. Having such a strategy ensures the Bay Area is in the best possible position to clearly track and articulate its risks and capability needs to local leaders, the State of California and DHS when seeking resources to reduce that risk and satisfy those capability needs.

## 4. Proposal Submission Process

Regional projects may be developed from and/or solicited by operational areas, special districts, or sub-regions within the twelve county Bay Area UASI. Bay Area UASI Management Team project managers, hub planners, Bay Area UASI work group members, and other regional stakeholders will work with the UASI counties/major cities to engage in outreach to solicit proposals.

Proposals are invited from government organizations within the UASI footprint, including all work group and hub participants. **All proposals must meet the following criteria:**

- Be submitted by the person who will be primarily responsible for project implementation
- Have the approval of the relevant department head
- Have a clear nexus to terrorism
- Enhance the region's priority capabilities
- Be regional insofar that the project directly benefits at least two operational areas

Note that community-based and nonprofit groups are welcome to submit proposals but must do so through a government sponsor/partner.

**Proposals may only be submitted using an online form to the Management Team from October 15<sup>th</sup> – November 15<sup>th</sup>, 2013.** All proposals must be **submitted by 5pm on Friday November 15<sup>th</sup>**, and late proposals will be considered ineligible. **Please note that all proposals – including those using core city and sustainment allocations – must be submitted by the November 15<sup>th</sup> deadline.**

Upon receipt of the proposals, the Management Team will share them with the appropriate Approval Authority members for review. This review will take place before proposals are distributed to the hubs for prioritization.

Many Bay Area UASI jurisdictions undergo an internal vetting process of their own to identify which proposals should be submitted for UASI funding. Please note that such processes are the responsibility of each jurisdiction. UASI jurisdictions that wish to undertake internal vetting processes should do so before the November 15<sup>th</sup> deadline.

The proposal template can be found in Appendix A of this guidance. Submitters are strongly encouraged to integrate Federal, State and local grant and general funds when developing FY 2014 projects, with an understanding that the rules governing the use of those funds may vary from funding source to funding source. Please see section 11 of this guidance for important information on allowable expenses for UASI federal funds.

## 5. Role of the Work Groups

The Bay Area encourages regional subject matter experts to discuss possible projects through the venue of the Bay Area UASI work groups.

*Work group composition:*

- Work group meetings are open to all who would like to participate within the twelve county Bay Area UASI.
- Bay Area UASI Approval Authority and Advisory Group members should attempt to ensure their jurisdiction is represented in all work groups for optimum inclusion in all UASI project discussions.
- Work group meetings are chaired by project managers representing the UASI Management Team.
- Each work group is assigned a goal or set of goals from the *Bay Area Homeland Security Strategy*. The work groups and their areas of responsibility concerning projects for FY 2014 are:

Goal #	Bay Area Homeland Security Strategy Goal	Work group Title
1	Regional planning and risk management	Risk Management/Information Analysis and Infrastructure Protection
2	Regional intelligence, information sharing and infrastructure protection	
3	Regional interoperable communications	Interoperable Communications
4	Chemical, Biologic, Radiologic, Nuclear and Explosive (CBRNE)	Regional Training & Exercise and CBRNE
8	Regional training and exercise	
5	Regional public and medical health	Regional Catastrophic Planning Team and Whole Communities
6	Regional emergency planning and citizen preparedness	
7	Regional recovery	

Note that training and exercise proposals will be referred to the training and exercise program, as in prior years. However, exercise requests that exceed \$50,000 and that benefit the entire Bay Area region will be referred to the Advisory Group to consider as a regional project. Exercise requests above the \$50,000 threshold that do not benefit the entire Bay Area region will be referred to the General Manager to determine an appropriate review process.

*“Informal” work group proposal discussions:*

At their regularly scheduled meetings in September, work groups will meet to discuss gaps and capability needs of the region. Topics to discuss could include:

- What projects would enhance the region’s priority capabilities?
- Does the proposed project have a direct nexus to terrorism?
- Is the proposed project regional insofar that it directly benefits at least two operational areas? Could it benefit a larger area?
- Is the proposed project budget of a reasonable amount?
- Why is the proposed investment critical and important?

Bay Area UASI project managers who chair the work group discussions will take notes on this discussion and pass this information along to the hub decision-makers for their consideration in prioritizing project proposals (see next section). All project proposal originators are welcome to attend work group meetings in order to share proposal ideas and gather work group members’ input on regional gaps and capabilities to best inform project proposal development.

**\*\*\*NOTE THAT THE UASI MANAGEMENT TEAM WILL NOT FORMALLY COORDINATE A DISCUSSION OF EACH PROPOSAL AT THE WORK GROUP LEVEL AS WAS CONDUCTED LAST YEAR.**

*Participation of work group members in hub selection processes:*

Work group participants and other subject matter experts may have an opportunity to participate in hub meetings, at the discretion of the hub voting members. Please see next section.

## 6. Role of the Hubs

In FY14 as in the past couple of years, the Bay Area is utilizing hub groups to prioritize proposed projects.

### *Hub composition:*

- As in prior years, the hubs will be based on the geographical location of the agencies based on North, East, South and West Bay Areas.
- Each Approval Authority Member will be asked to assign three to five people to represent his or her operational area/core city at the hub project proposal prioritization meetings. These hub representatives are referred to as hub voting members. Approval Authority Members are urged to appoint representatives that reflect the diversity of the Bay Area Homeland Security Strategy goals.
- Hub meetings will be coordinated and facilitated by “hub coordinators,” who are hub planners and/or UASI Management Team members.

### *Preparations for hub project proposal prioritization meeting:*

In advance of the hub meetings, the Management Team will provide hub participants with all submitted proposals for their hubs as well as discussion notes from the work groups. These read-ahead materials will also include a review by the UASI Management Team as to whether proposals meet the criteria laid on page 3 of this guidance. Hub planners will solicit any questions hub voting members may have for regional subject matter experts in advance of the meetings.

### *Project prioritization process:*

Hubs will meet in January 2014 to decide on the final prioritized list of projects for recommendation to the Advisory Group. Each hub will develop a list of prioritized projects based on regional need and local capabilities. Hubs may also designate other criteria as mutually agreed (e.g., provide scalable solutions, leverage other funding sources, and benefit the most operational areas.) Ideally prioritization will be done by consensus, but voting may occur as needed.

The Management Team will provide hubs with a planning amount based on what was provided to the hub from last year’s (FY13) allocation (see Section 8 Allocation of Funding). The hubs’ prioritized lists of projects should include projects in order of importance to be funded by the forthcoming FY14 allocation. The hub voting members will prioritize projects proposals and funding amounts to match the planned hub funding allocation as “above the line” projects. Each hub should also carefully develop a list of “below the line” projects for if/when additional funds become available in the future. This should include short time frame projects.

Hub voting members may make modifications to proposals during the meeting with the agreement of the original project proposers as long as these modifications are consistent with the original goals and objectives of the project. Recognizing that the discussion of regional needs at the hub level may generate new ideas and opportunities for cooperation, hubs may also propose new projects in special circumstances and with the approval of the General Manager. Such projects must meet all of the funding criteria presented on page 3 above.

*Participation at hub meetings:*

The Bay Area UASI Management Team encourages “open” hub selection meetings, whereby proposers and subject matter experts such as work group participants are invited to listen and participate in the prioritization process. However, it will be at the discretion of the hub voting members to determine whether proposers and other subject matter experts such as work group participants are invited to their deliberation meetings, and the nature of subject matter expert participation at such meetings.



## 7. Role of the Advisory Group

The UASI Advisory Group plays two critical roles in the project proposal prioritization process – (1) prioritizing regional projects for Approval Authority approval, and (2) reviewing hub-selected projects for recommendation to the Approval Authority for approval.

### *Prioritize sustainment/regional projects:*

The Advisory Group will review and prioritize proposals that are regional in nature, “off the top,” and/or sustainment projects for approval by the Approval Authority. Similar to the process conducted by hub voting members at the hub level, the Advisory Group will develop a list of prioritized projects based on regional need and local capabilities. Ideally prioritization will be done by consensus, but voting may occur as needed. The Management Team will provide the Advisory Group with a planning amount based on what was provided for regional/sustainment projects from last year’s (FY13) allocation. The prioritized list of projects should include projects in order of importance to be funded by the forthcoming FY14 allocation. This list should also develop “below the line” projects for if/when additional funds become available in the future. This should include short time frame projects.

The Advisory Group will meet in January 2014 to conduct this review. In advance of this meeting, the Management Team will provide Advisory Group participants with submitted regional/sustainment proposals as well as discussion notes from the work groups. These read-ahead materials will also include a review by the Management Team as to whether proposals meet the criteria laid on page 3 of this guidance. Management Team staff will solicit any questions Advisory Group members may have for regional subject matter experts in advance of the meeting.

The Management Team encourages “open” selection meetings, whereby proposers and subject matter experts are invited to listen and participate in the prioritization process. However, it will be at the discretion of the Advisory Group members to determine whether proposers and other subject matter experts are invited to their deliberation meeting and the nature of subject matter expert participation. The Management Team will be responsible for organizing the meeting given the direction provided to them by the Advisory Group members.

### *Review proposed projects prioritized by the hubs.*

The other key responsibility of the Advisory Group is to provide a review of hub-selected projects to reduce duplication of effort and confirm prioritization of projects based on attainable mitigation of regional risk. This meeting will take place in February 2014, and the deliverable will be recommendations to the Approval Authority for the March Approval Authority meeting.

## 8. Allocation of Funding

In the next Approval Authority meeting following the announcement of the FY 2014 grant award, the Approval Authority will approve specific allocation amounts among the categories of core city allocations, regional/sustainment projects, and hub projects. Projects within those categories will then be funded in order of priority, as specified by hubs/Advisory Group, and as approved by the Approval Authority.

Until the FY 2014 grant award is announced, for planning purposes, the Bay Area will operate under the assumption that the FY 2014 funding will be approximately equal to the amount allocated in FY 2013 – \$27,252,169. For reference, below please find the FY13 hub and regional/sustainment allocations. These will be used in the FY14 cycle for planning purposes:

### FY 13 Hub and Regional/Sustainment Allocations

East Hub	\$1,141,961
North Hub	\$366,787
South Hub	\$1,302,272
West Hub	\$2,262,108
Regional/Sustainment	\$11,175,308
Core City	\$3,000,000
Management Team	\$3,330,000
State Holdback	\$4,673,733
<b>TOTAL</b>	<b>\$27,252,169</b>

## 9. Priority Capability Objectives

*These priority capability objectives are based on the Bay Area Homeland Security Strategy and were applied to the FY13 UASI funding cycle. The updated objectives for FY14 cycle will be presented to the Approval Authority on October 10, 2013 for approval. The capability objectives from the FY13 cycle should be used as guidance until October when the updated objectives are available. **In order to be eligible for FY14 funding, all proposed projects must fulfill at least one of these priority capability objectives.***

<b>Goal 1 Strengthen the Regional Risk Management and Planning Program</b>
Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities
<b>Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities</b>
Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities
Objective 2.3 Increase Critical Infrastructure Protection
<b>Goal 3 Strengthen Communications Capabilities</b>
Objective 3.1 Enhance Operational Communications Capabilities
<b>Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities</b>
Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support
Objective 4.2 Strengthen Mass Search and Rescue Capabilities
Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations
Objective 4.6 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities
Objective 4.7 Strengthen Operational Coordination Capabilities
Objective 4.8 Improve Environmental Response/Health and Safety through Responder Safety and Health
Objective 4.9 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response
<b>Goal 5 Enhance Medical and Public Health Preparedness</b>
Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment
Objective 5.3 Strengthen Medical Countermeasure Dispensing
Objective 5.8 Enhance Fatality Management
<b>Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities</b>
Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities
Objective 6.2 Enhance Critical Transportation Capabilities
Objective 6.3 Improve Mass Care
Objective 6.4 Increase Community Resiliency
<b>Goal 7 Enhance Recovery Capabilities</b>
Objective 7.1 Strengthen Infrastructure Systems
Objective 7.2 Enable Economic Recovery

Detailed description of the priority capability objectives is as follows:

<b>Goal 1 Strengthen the Regional Risk Management and Planning Program</b>
<b>Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities:</b> The Bay Area is able to identify and assess the threats and hazards that pose the greatest risk to the whole community. The region can prioritize and select appropriate capability-based planning investments and solutions for prevention, protection, mitigation, response, and recovery concerning those risks; monitor the outcomes of allocation decisions; and undertake corrective and sustainment actions.
<b>Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities</b>
<b>Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities:</b> The Bay Area's law enforcement community (federal, state and local) and other public safety agencies can conduct forensic analysis and attribute terrorist threats and acts to help ensure that suspects involved in terrorist and criminal activities related to homeland security are successfully identified, deterred, detected, disrupted, investigated, and apprehended.
<b>Objective 2.3 Increase Critical Infrastructure Protection:</b> The region can assess the risk to physical & cyber critical infrastructure and key resources from acts of terrorism, crime, and natural hazards and deploy a suite of actions to enhance protection and reduce the risk to the region's critical infrastructure and key resources from all hazards. This includes a risk-assessment process and tools for identifying, assessing, cataloging, and prioritizing physical and cyber assets from across the region.
<b>Goal 3 Strengthen Communications Capabilities</b>
<b>Objective 3.1 Enhance Operational Communications Capabilities:</b> The emergency response community in the Bay Area has the ability to provide a continuous flow of mission critical voice, data and imagery/video information among multi-jurisdictional and multidisciplinary emergency responders, command posts, agencies, and Bay Area governmental officials for the duration of an emergency response operation. The Bay Area can also re-establish sufficient communications infrastructure within the affected areas of an incident, whatever the cause, to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery.
<b>Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities</b>
<b>Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support:</b> Fire service agencies across the Bay Area can dispatch initial fire suppression resources within jurisdictional response time objectives, and firefighting activities are conducted safely with fire hazards contained, controlled, extinguished, and investigated, with the incident managed in accordance with local and state response plans and procedures.
<b>Objective 4.2 Strengthen Mass Search and Rescue Capabilities:</b> Public safety personnel in the Bay Area are able to conduct search and rescue operations to locate and rescue persons in distress and initiate community-based search and rescue support-operations across a geographically dispersed area. The region is able to synchronize the deployment of local, regional, national, and international teams to support search and rescue efforts and transition to recovery.

<p><b>Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations:</b> Public safety bomb squads in the Bay Area are able to conduct threat assessments; render safe explosives and/or hazardous devices; and clear an area of explosive hazards in a safe, timely, and effective manner. This involves the following steps in priority order: ensure public safety; safeguard the officers on the scene (including the bomb technician); collect and preserve evidence; protect and preserve public and private property; and restore public services.</p>
<p><b>Objective 4.6 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities:</b> Responders in the Bay Area are able to conduct health and safety hazard assessments and disseminate guidance and resources, including deploying HazMat response and decontamination teams, to support immediate environmental health and safety operations in the affected area(s) following a WMD or HazMat incident. Responders are also able to assess, monitor, clean up, and provide resources necessary to transition from immediate response to sustained response and short-term recovery.</p>
<p><b>Objective 4.7 Strengthen Operational Coordination Capabilities:</b> The Bay Area has a fully integrated response system through a common framework of the Standardized Emergency Management System, Incident Command System and Unified Command including the use of emergency operations centers, incident command posts, emergency plans and standard operating procedures, incident action plans and the tracking of on-site resources in order to manage major incidents safely, effectively and efficiently. EOCs in the Bay Area can effectively plan, direct and coordinate information and activities internally within EOC functions, and externally with other multi-agency coordination entities, command posts and other agencies to effectively coordinate disaster response operations.</p>
<p><b>Objective 4.8 Improve Environmental Response/Health and Safety through Responder Safety and Health:</b> The Bay Area can reduce the risk of illnesses or injury to first responder, first receiver, medical facility staff member, or other skilled support personnel as a result of preventable exposure to secondary trauma, chemical/radiological release, infectious disease, or physical/emotional stress after the initial incident or during decontamination and recovery.</p>
<p><b>Objective 4.9 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response:</b> Public safety agencies within the Bay Area are able to keep the public and critical infrastructure safe by securing a particular incident scene and maintaining law and order following an incident or emergency to include managing the criminal justice prisoner population.</p>
<p><b>Goal 5 Enhance Medical and Public Health Preparedness</b></p>
<p><b>Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment:</b> Emergency medical services (EMS) resources across the Bay Area can effectively and appropriately be dispatched (including with law enforcement tactical teams) to provide pre-hospital triage, treatment, transport, tracking of patients, and documentation of care appropriate for the incident, while maintaining the capabilities of the EMS system for continued operations up to and including for mass casualty incidents.</p>
<p><b>Objective 5.3 Strengthen Medical Countermeasure Dispensing:</b> With the onset of an incident, the Bay Area is able to provide appropriate medical countermeasures (including vaccines, antiviral drugs, antibiotics, antitoxin, etc.) in support of treatment or prophylaxis (oral or vaccination) to the identified population in accordance with local, state and federal public health guidelines and/or recommendations.</p>

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

**Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities**

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

**Objective 6.2 Enhance Critical Transportation Capabilities:** The Bay Area can provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people, including those with access and functional needs, and animals, and the delivery of vital response personnel, equipment, and services into the affected incident areas to save lives and to meet the needs of disaster survivors.

**Objective 6.3 Improve Mass Care:** Mass care services, including sheltering, feeding, and bulk distribution, are rapidly, effectively and efficiently provided for the impacted population, including those with access and functional needs, in a manner consistent with all applicable laws, regulations and guidelines.

**Objective 6.4 Increase Community Resiliency:** The Bay Area has a formal structure and process for ongoing collaboration between government and nongovernmental resources at all levels to prevent, protect/mitigate, prepare for, respond to and recover from all known threats and hazards.

**Goal 7 Enhance Recovery Capabilities**

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

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

## 10. Summary Timeline

WHO	WHAT	WHEN	DETAILS
UASI Management Team	Outreach	September 2013	Management Team sends the FY14 implementation guidance to UASI stakeholders as well notice of the webinar kick off.
UASI Work Groups	Informal proposal discussions	September 2013	Work groups discuss projects ideas as well as regional gaps and priorities. Management Team staff will provide notes on proposal discussions to hub voting members.
UASI Management Team	Kick off webinar	October 3, 2013	Management Team hosts webinar for those interested to submit proposals; open to any UASI stakeholder. Staff will review project proposal template, grant requirements, and proposal selection criteria and process. The webinar will be recorded and will be available on the Bay Area UASI website for later viewing.
UASI Stakeholders	Proposal submissions	October 15 – November 15, 2013	Proposals must have a clear nexus to terrorism, enhance the region’s priority capabilities, and be regional insofar that there are direct benefits to at least two operational areas.
Approval Authority	Approval Authority electronic review	December 2 – 8, 2013	Management Team sends all proposals for each OA/core city to the relevant Approval Authority Member for review.
Hubs	Prioritize	January 2013	Hubs list projects in order of importance to be funded, including “above” and “below” the line, based on the estimated funding available
Advisory Group	Prioritize regional projects	January 2013	The Advisory Group lists sustainment/regional projects in order of importance to be funded including “above” and “below” the line, based on the estimated funding available
Advisory Group	Recommend	February 2013	The Advisory Group reviews hub-selected projects and makes recommendations to the Approval Authority
Approval Authority	Approve	March 2014	Approve hub and regional project submissions.

## 11. Allowable Spending Guidelines

*Please note that DHS has yet to issue guidelines for FY14. In the absence of this information, below please find the allowable spending information for FY13. The Management Team will update these guidelines when FY13 information becomes available.*

The following is a summary of allowable spending areas under the UASI program as it pertains to the Bay Area UASI. If hubs have questions regarding allowable cost items they should contact the Bay Area UASI Management Team for clarification. The spending areas are broken out largely under the planning, organization, equipment, training and exercises (POETE) spending areas. This matches the Bay Area Strategy, which also divides recommended spending areas under POETE for each objective in the Strategy, as well as the DHS mandated budget sections for Investment Justifications that the Bay Area must submit in order to receive DHS funding. The spending areas below simply outline what is allowable. They are not a list of what hubs should or must purchase. Rather, the spending areas in this guidance must be viewed in the context of the Bay Area Homeland Security Strategy's goals and objectives. The spending areas serve as a guide for what hubs can purchase in their efforts to implement the Bay Area Strategy, which is the document that should drive hub expenditures. The following are definitions for the terms as used in this interim guidance:

**Hiring** – Hubs may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable DHS/FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-FEMA program activities under any circumstances. Hiring will always result in a net increase of Full Time Equivalent (FTE) employees.

**Overtime** – These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their performance of FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.

**Backfill-related Overtime** – Also called “Overtime as Backfill,” these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to FEMA-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of FTE employees.

**Supplanting** – Grant funds will be used to supplement existing funds, and shall not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.



## 11.1 Planning

FY 2014 funds may be used for a range of emergency preparedness and management planning activities and that support Performance Objectives such as THIRA and Planning, by placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v.2 as well as development and maintenance of a THIRA. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes. Grantees must use the *CPG 101: Developing and Maintaining Emergency Operations Plans* in order to develop robust and effective plans. For additional information, please see

[http://www.fema.gov/pdf/about/divisions/npd/CPG\\_101\\_V2.pdf](http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf).

Examples of planning activities include:

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, mitigation, response, and recovery activities
- Developing and implementing homeland security support programs and adopting
- DHS national initiatives including but not limited to the following:
  - Implementing the NPG and the Whole Community Approach to Security and Emergency Management
  - Pre-event recovery planning
  - Implementing the National Infrastructure Protection Plan (NIPP) and associated Sector Specific Plans
  - Enhancing and implementing Statewide Communication Interoperable Plan (SCIP) and Tactical Interoperable Communications Plans (TICP) that align with the goals, objectives, and initiatives of the *National Emergency Communications Plan* (NECP)
  - Costs associated with the adoption, implementation, and adherence to NIMS compliance requirements, including implementing the NIMS National Credentialing Framework
  - Modifying existing incident management and EOPs to ensure proper alignment with the National Response Framework (NRF) coordinating structures, processes, and protocols
  - Establishing or enhancing mutual aid agreements
  - Developing communications and interoperability protocols and solutions
  - Conducting local, regional, and tribal program implementation meetings
  - Developing or updating resource inventory assets in accordance to typed resource definitions issued by the NIC
  - Designing State and local geospatial data systems
  - Developing and conducting public education and outreach campaigns, including promoting individual, family, and organizational emergency preparedness; alerts and warnings education; promoting training, exercise, and volunteer opportunities; informing the public about emergency plans, evacuation routes, shelter locations; and evacuation plans as well as CBRNE prevention awareness

- Designing programs to address targeting at-risk populations and engaging them in emergency management planning efforts
- Activities, materials, services, tools and equipment to achieve planning, protection, mitigation, response and recovery that is inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities)
- Preparing materials for State Preparedness Reports (SPRs)
- Developing related terrorism prevention activities including:
  - Developing THIRA that reflects a representative make up and composition of the jurisdiction
  - Developing initiatives that directly support local efforts to understand, recognize, prepare for, prevent, mitigate, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with civil rights/civil liberties protections
  - Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center
  - Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
  - Developing and planning for information/intelligence sharing groups
- Integrating and coordinating the fire service, emergency management, public health care, public safety, and health security data-gathering (threats to human and animal health) within fusion centers to achieve early warning, monitoring, and mitigation of threats:
  - Integrating and coordinating private sector participation with fusion center activities
  - Developing and implementing preventive radiological/nuclear detection activities
  - Acquiring systems allowing connectivity to State, local, tribal, territorial, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
  - Planning to enhance security during heightened alerts, terrorist incidents, and/or during mitigation and recovery
  - Multi-discipline preparation across first responder community, including EMS for response to catastrophic events and acts of terrorism
  - Accessible public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, and web postings coordinated through local Citizen Corps Councils or their equivalent
  - Volunteer programs and other activities to strengthen citizen participation
  - Conducting public education campaigns including promoting suspicious activity reporting and preparedness; individual, family, and organizational emergency preparedness; promoting the *Ready* campaign; and/or creating State, regional, or local emergency preparedness efforts that build upon the *Ready* campaign
  - Evaluating Critical Infrastructure Protection (CIP) security equipment and/or personnel requirements to protect and secure sites
  - CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
  - Multi-Jurisdiction Bombing Prevention Plans (MJBPP)

- Underwater Terrorist Protection Plans
- Developing and enhancing plans and protocols, including but not limited to:
  - Community-based planning to advance “whole community” security and emergency management
  - Incorporating government/non-governmental collaboration, citizen preparedness, and volunteer participation into State and local government homeland security strategies, policies, guidance, plans, and evaluations
  - Developing, enhancing, maintaining a current EOP that conforms to the guidelines outlined in the CPG 101 v.2
  - Developing or enhancing local, regional, or Statewide strategic or tactical interoperable emergency communications plans
  - Activities associated with a conversion from wideband to narrowband voice channels to support interoperability
  - Implementing SCIP and TICPs that align with the goals, objectives, and initiatives of the NECP
  - Developing protocols or standard operating procedures for specialized teams to incorporate the use of equipment acquired through this grant program
  - Developing terrorism prevention/protection plans
  - Developing plans, procedures, and requirements for the management of infrastructure and resources related to HSGP and implementation of State or Urban Area Homeland Security Strategies
  - Developing plans for mass evacuation and pre-positioning equipment
  - Developing or enhancing plans for responding to mass casualty incidents caused by any hazards
  - Developing or enhancing applicable procedures and operational guides to implement the response actions within the local plan including patient tracking that addresses identifying and tracking children, access and functional needs population, and the elderly and keeping families intact where possible
  - Developing or enhancing border security plans
  - Developing or enhancing cyber security and risk mitigation plans
  - Developing or enhancing secondary health screening protocols at major points of entry (e.g., air, rail, port)
  - Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans
  - Developing public/private sector partnership emergency response, assessment, and resource sharing plans
  - Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of survivors
  - Developing or updating local or regional communications plans
  - Developing plans to support and assist jurisdictions, such as port authorities and rail and mass transit agencies
  - Developing or enhancing continuity of operations and continuity of government plans
  - Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under theNRF

- Developing plans and response procedures for adjudicating, validating and responding to an alarm from a chemical or biological detector (response procedures should include emergency response procedures integrating local first responders)
- Developing or enhancing evacuation plans
- Developing mechanisms for utilizing the National Emergency Family Registry and Locator System (NEFRLS)
- Developing or enhancing plans to prepare for surge capacity of volunteers
- Developing or enhancing the State emergency medical services systems
- Developing or enhancing plans for donations and volunteer management and the engagement/integration of private sector/non-governmental entities in preparedness, mitigation, response, and recovery activities
- Developing or enhancing Bombing Prevention Plans
- Developing school preparedness plans
- Developing preparedness plans for child congregate care facilities, including group residential facilities, juvenile detention facilities, and public/private child care facilities
- Developing plans to educate youth on disaster preparedness
- Ensuring EOPs adequately address warnings, emergency public information, evacuation, sheltering, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and volunteer resource integration to support each Emergency Support Function, to include appropriate considerations for integrating activities, materials, services, tools and equipment to achieve planning inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities). Developing and implementing civil rights, civil liberties, and privacy policies, procedures, and protocols
- Designing and developing State, local, tribal, and territorial geospatial data systems
- Developing and implementing statewide electronic patient care reporting systems compliant with the National Emergency Medical Services
- Information System (NEMESIS)
  - Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities
- Developing or conducting assessments, including but not limited to:
  - Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
  - Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level
  - Developing border security operations plans in coordination with CBP
  - Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
  - Updating and refining threat matrices
  - Conducting cyber risk and vulnerability assessments

- Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local, regional, and State resources
- Conducting Bombing Prevention Capability Analysis
- Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g., law enforcement, fire, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)
- Activities that directly support the identification of pre-designated temporary housing sites
- Activities that support the identification and development of alternate care sites
- Conducting community assessments, surveys, and research of vulnerabilities and resource needs to determine how to meet needs and build effective and tailored strategies for educating individuals conducting assessments of the extent to which compliance with the integration mandate of disability laws is being achieved
- Soft target security planning (e.g., public gatherings)
- Identifying resources for medical supplies necessary to support children during an emergency, including pharmaceuticals and pediatric-sized equipment on which first responders and medical providers are trained
- Ensuring subject matter experts, durable medical equipment, consumable medical supplies and other resources required to assist children and adults with disabilities to maintain health, safety and usual levels of independence in general population environments
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Establishing, expanding, and maintaining volunteer programs and volunteer recruitment efforts that support disaster preparedness and/or response
  - Citizen support for emergency responders is critical through year-round volunteer programs and as surge capacity in disaster response, including but not limited to: Citizen Corps Affiliate Programs and Organizations, Community Emergency Response Teams (CERT), Fire Corps, Medical Reserve Corps (MRC), Neighborhood Watch/USAonWatch, Volunteers in Police Service (VIPS), and jurisdiction specific volunteer efforts
- Establishing and sustaining Citizen Corps Councils or their equivalent
- Working with youth-serving organizations to develop and sustain a youth preparedness program

## 11.2 Organization

Organizational activities include:

- Program management;
- Development of whole community partnerships;
- Structures and mechanisms for information sharing between the public and private sector;

- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- As identified in priority one utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident;
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event; and
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts.
- Proposed expenditures of funds to support organization activities within the project submission must use historical data or other analysis.
- Up to 50 percent (50%) of FY 2013 funding may be used for personnel costs.

**Intelligence analysts.** Per the *Personnel Reimbursement for Intelligence*

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

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

As identified in the *Maturation and Enhancement of State and Major Urban Area Fusion Centers* priority, all fusion centers analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. These include subject-matter expertise, analytic methodologies, customer-service ethics, information handling and processing skills, critical thinking skills, computer literacy, and objectivity and intellectual honesty. A certificate of completion of such training must be on file with the SAA and must be made available to FEMA Program Analysts upon request. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion center's BCA.

**Overtime costs.** Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security and specifically requested by a Federal agency. Allowable costs are limited to overtime associated with federally requested participation in eligible fusion activities including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the *Maritime Transportation Security Act of 2002*), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. Grant funding can only be used in proportion to the Federal man-hour estimate, and only after funding for these activities from other Federal

sources (i.e. FBI JTTF payments to State and local agencies) has been exhausted. Under no circumstances should DHS grant funding be used to pay for costs already supported by funding from another Federal source.

**Operational overtime costs.** In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism, operational overtime costs are allowable for increased security measures at critical infrastructure sites. FY 2013 UASI funds for organizational costs may be used to support select operational expenses associated with increased security measures at critical infrastructure sites in the following authorized categories:

The following organization activities in support of public-private partnerships are allowable expenses:

- Program management:
  - Salary for a dedicated liaison who acts as the primary point of contact, coordinates the public-private partnership and ensures proper implementation of the strategic plan
  - Facilities, including meeting space and work space for private sector liaisons. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
  - Supplies needed to support regular communications
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident
- Sustain partnership efforts to include:
  - Support for in-person meetings, events, and conferences that bring the public and private sectors together. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
  - Web-based and social media tactics (webinars, emails, newsletters, alerts, databases, online collaboration tools, website development and maintenance, etc)
  - Innovative approaches for reaching the Whole Community to include translated material for individuals who are blind and or have low vision capability and those with English as a second language and coalitions among citizens.
  - Leverage already existing structures and mechanisms, such as Citizen Corps, for sharing information and engaging members of the Whole Community to include: for-profit and not-for-profit entities, faith based and community organizations, youth-serving and youth advocates, those that support socio-economic and diverse cultures
- Structures and mechanisms for information sharing between the public and private sector:
  - Tools, software, programs, and other mechanisms that support two-way information sharing during normal and emergency operations
  - Means to receive input or feedback from the private sector, and encourage participation from civic leaders from all sectors
  - Regular and timely communications on subjects relating to all phases of emergency management, such as newsletters, emails, and alerts

- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
  - Web-based and new media platforms that allow real-time information exchange
  - Asset mapping, such as participation in FEMA’s Total Asset Visibility and LogViz initiatives
  - A seat(s) in the emergency operation center, or virtual EOC Operational Support:
  - Tools for identifying and tracking available paid and unpaid disaster response resources
  - Dedicated space and equipment for private sector representation within a State, county, or city emergency operation center
  - A dedicated business emergency operations center that works with the State, county or city EOC (not construction)
  - Tools for real time information sharing between the public and private sector
  - Licensing, screening, or other requirements for access to real EOC or virtual EOC
- Backfill and overtime expenses for staffing fusion centers;
  - Hiring of contracted security for critical infrastructure sites;
  - Public safety overtime (as defined in this FOA);
  - Title 32 or State Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package (Note: Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package); and
  - Increased border security activities in coordination with CBP, as outlined in Information Bulletin 135.

The following organization activities in support of **public-private** partnerships are allowable expenses:

- Program management:
  - Salary for a dedicated liaison who acts as the primary point of contact, coordinates the public-private partnership and ensures proper implementation of the strategic plan
  - Facilities, including meeting space and work space for private sector liaisons. Sub-recipients are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
  - Supplies needed to support regular communications
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident
- Sustain partnership efforts to include:
  - Support for in-person meetings, events, and conferences that bring the public and private sectors together. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities



- Web-based and social media tactics (webinars, emails, newsletters, alerts, databases, online collaboration tools, website development and maintenance, etc)
- Innovative approaches for reaching the Whole Community to include translated material for individuals who are blind and or have low vision capability and those with English as a second language and coalitions among citizens.
- Leverage already existing structures and mechanisms, such as Citizen Corps, for sharing information and engaging members of the Whole Community to include: for-profit and not-for-profit entities, faith based and community organizations, youth-serving and youth advocates, those that support socio-economic and diverse cultures
- Structures and mechanisms for information sharing between the public and private sector:
  - Tools, software, programs, and other mechanisms that support two-way information sharing during normal and emergency operations
  - Means to receive input or feedback from the private sector, and encourage participation from civic leaders from all sectors
  - Regular and timely communications on subjects relating to all phases of emergency management, such as newsletters, emails, and alerts
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
  - Web-based and new media platforms that allow real-time information exchange
  - Asset mapping, such as participation in FEMA's Total Asset Visibility and LogViz initiatives
  - A seat(s) in the emergency operation center, or virtual EOC Operational Support:
  - Tools for identifying and tracking available paid and unpaid disaster response resources
  - Dedicated space and equipment for private sector representation within a county or city emergency operation center
  - A dedicated business emergency operations center that works with the county or city EOC (not construction)
  - Tools for real time information sharing between the public and private sector
  - Licensing, screening, or other requirements for access to real EOC or virtual EOC

### 11.3 Equipment

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for FY 2013 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <https://www.rkb.us>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

FY 2013 HSGP funds used to support emergency communications activities should comply with the *FY 2013 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency

communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at <http://www.safecomprogram.gov>. Grant funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with State/city/local health department who administer Federal funds from the Department of Health and Human Services for this purpose. Procurement must have a sound threat based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response. Prior to procuring pharmaceuticals, grantees must have in place an inventory management plan to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Hubs are encouraged to enter into rotational procurement agreements with vendors and distributors. Purchases of pharmaceuticals must include a budget for the disposal of expired drugs within the period of performance of the FY 2013 HSGP. The cost of disposal cannot be carried over to another FEMA grant or grant period.

#### **11.4 Training**

The Regional Exercise and Training Program will be responsible for reviewing and approving all training requests. Allowable training-related costs under UASI include the establishment, support, conduct, and attendance of training specifically identified under the UASI grant program and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, DOT).

Allowable training activities include, but are not limited to:

- Overtime and backfill for public safety, emergency preparedness and response personnel attending FEMA-sponsored and approved training classes
- Overtime and backfill for public safety, emergency preparedness and response personnel attending FEMA-sponsored and approved training classes
- Overtime and backfill expenses for part-time and volunteer public safety and emergency response personnel participating in FEMA training
- Training workshops and conferences
- Full-time or part-time staff or contractors/consultants
- Travel
- Supplies
- Tuition for higher education
- Training conducted using UASI funds should seek to address a gap identified in the Strategy, or through the Bay area's several specific training plans, an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise.

#### **11.5 Exercise**

The Regional Exercise and Training Program will be responsible for reviewing and approving Exercise requests. Exercises should be used to provide the opportunity to demonstrate and

validate skills learned in training, as well as to identify training gaps. Any training or training gaps should be identified in the Strategy, AAR/IP and/or addressed in the Bay Area training plans and cycle. Exercises must be managed and executed in accordance with the Bay Area's Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://hseep.dhs.gov>. The HSEEP Library provides sample exercise materials and templates. Allowable exercise activities include, but are not limited to:

- Design, develop, conduct, and evaluate an exercise
- Exercise planning workshop
- Full-time or part-time staff or contractors/consultants
- Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in FEMA exercises
- Implementation of HSEEP
- Travel
- Supplies

All exercises using UASI funding must be NIMS/SEMS compliant. More information is available online at the NIMS Integration Center, <http://www.fema.gov/emergency/nims/index.shtm>.

## **Maintenance and Sustainment**

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted.

FY 2013 grant funds are intended to support projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to meet this objective, the policy set forth in GPD's Information Bulletin 336 (Maintenance and Sustainment) has been expanded to allow for the support of equipment that has previously been purchased with both Federal grant and non-Federal grant funding. Hubs need to ensure that eligible costs for maintenance and sustainment be an allowable expenditure under applicable grant programs and support one of the core capabilities in the five mission areas contained within the NPG and be deployable through EMAC, where applicable.

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

The following activities are eligible for use of LETPA focused funds:

- Maturation and enhancement of fusion centers, including information sharing and analysis, target hardening, threat recognition, and terrorist interdiction, and training/hiring of intelligence analysts;
- Implementation and maintenance of the Nationwide SAR Initiative (NSI), including training for front line personnel on identifying and reporting suspicious activities;

- Implementation of the “If You See Something, Say Something™” campaign to raise public awareness of indicators of terrorism and violent crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations;
- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremist radicalization; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States; and
- Increase physical security, via law enforcement personnel and other protective measures by implementing preventive and protective measures related to at-risk nonprofit organizations.

### **11.7 Critical Emergency Supplies**

In furtherance of DHS’s mission, critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under UASI. Prior to allocating grant funding for stockpiling purposes, Proposers must have FEMA’s approval of a viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.

The inventory management plan and distribution strategy, to include sustainment costs, will be developed and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under UASI. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under UASI and monitor development and status of the State’s inventory management plan and distribution strategy.

### **11.8 Construction and Renovation**

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

Written approval must be provided by FEMA prior to the use of any HSGP funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, Proposers are highly encouraged to submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits and documents, and to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., completing the FCC’s Section 106 review process for tower construction projects; coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects). FEMA is legally required to consider the potential impacts of all projects on environmental resources and

historic properties. Proposers must comply with all applicable environmental planning and historic preservation (EHP) laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2013 HSGP grant funds. To avoid unnecessary delays in starting a project, proposers are encouraged to pay close attention to the reporting requirements for an EHP review. For more information on FEMA's EHP requirements, please refer to Information Bulletins 329 and 345 (<http://www.fema.gov/government/grant/bulletins/index.shtm>).

FY 2013 HSGP Proposers wishing to use funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 *et seq.*). Recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website: <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

## **11.9 Personnel**

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2013 HSGP planning, training, exercise, and equipment activities. A personnel cost cap of up to 50 percent (50%) of total grant program funds may be used for personnel and personnel-related activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412).

In general, the use of grant funds to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. FY 2013 grant funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

Definitions for hiring, overtime, backfill-related overtime, and supplanting remain unchanged from FY 2011 HSGP.

## **11.10 Operational Packages**

Proposers may elect to pursue operational package (OPack) funding, such as Canine Teams, Mobile Explosive Screening Teams, and Anti Terrorism Teams, for new capabilities as well as sustain existing OPacks. Proposers must commit to minimum training standards to be set by the Department for all federally funded security positions. Proposers must also ensure that the capabilities are able to be deployable, through EMAC, outside of their community to support regional and national efforts. When requesting OPacks-related projects, Proposers must demonstrate the need for developing a new capability at the expense of sustaining existing core capability.

Proposers are reminded that personnel-related activities associated with OPacks will be subject to the PRICE Act requirements in which up to 50 percent (50%) of FY 2013 funding may be used for personnel costs.

# Appendix A - FY14 Proposal Template



# FY2014 UASI PROJECT PROPOSAL FORM

This form is for informational purposes only  
**DO NOT USE THIS FORM TO SUBMIT A PROJECT!**

## 1. OVERVIEW

**HUB, Core City or Regional**

**Operational Area**

**Agency**

**Project Name**

**Total Project Cost**

**Allocation Requested**

**Minimum Allocation Request**

---

## PROJECT LEAD CONTACT INFORMATION

<b>Name</b>	<b>Title</b>
<b>Business Phone</b>	<b>E-mail</b>
<b>Cell</b>	<b>Fax</b>

---

## DEPARTMENT HEAD CONTACT INFORMATION

<b>Name</b>	<b>Title</b>
<b>Phone</b>	<b>E-mail</b>
<b>Department Head Approval</b>	Yes      No

## 2. PROJECT DESCRIPTION

Provide a description of this Project, including the planning, organization, equipment, training, and/or exercises that will be involved

### PROJECT SUMMARY

*Provide a brief description of your project.*

*A maximum of 375 character limit is allowed for this response*

## PROJECT DESCRIPTION

*Provide a brief narrative describing the items or services being funded.*

*POETE elements (Planning, Organization, Equipment, Training and Exercises)*

*A maximum of 1850 character limit is allowed for this response.*

## PROJECT ACCOMPLISHMENT SUMMARY

*Provide a brief description of the outcomes that will be achieved as a result of this investment.*

*A maximum of 375 character limit is allowed for this response*

## DESCRIBE EXISTING CAPABILITY LEVELS THAT SUPPORT THE IDENTIFIED GOAL AND OBJECTIVE (BASELINE)

*Provide a brief description of your existing capabilities.*

*A maximum of 550 character limit is allowed for this response.*

## EXPLAIN THE CAPABILITY GAP(S) THAT THIS PROJECT IS INTENDED TO ADDRESS

*Provide a brief description of the gaps your project addresses.*

*A maximum of 550 character limit is allowed for this response.*

### 3. CORE CAPABILITIES For more information [CLICK HERE](#) to go to the FEMA Core Capabilities web page

Core Capability	Amount	%
Core Capability	Amount	%
Core Capability	Amount	%
		TOTAL 100%



## 4. COMPLIANCE REQUIREMENTS

**Check Corresponding Box**  
**Check all that apply**

- This project will require a Request For Proposal
- This project will require a Performance Bond
- This project will require a Sole Source
- This project will require an Environmental & Historic Preservation
- This project will require an Emergency Operation Center Request Form
- This project will require an Watercraft Request Form
- This project will require an Aviation Request Form
- This project will require grant funded personnel (no supplanting)

State Forms Hyper Links: [SOLE SOURCE](#) [EHP](#) [EOC](#) [WATERCRAFT](#) [AVIATION](#)

## 5. POETE SOLUTION AREA

Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area. (Please provide amounts for all that apply)

Planning

Organization

**THE ORGANIZATION FIELD IS FOR FUSION CENTER USE ONLY**

Equipment

Training

Exercises

**Total**

**LETPA Amount**

(Law Enforcement Terrorism Prevention Activities)

## EQUIPMENT

**Optional, this space can be used to provide additional information about the equipment items**

*A maximum of 375 character limit is allowed for this response*

For more information [CLICK HERE](#) to go to the FEMA Preparedness Grants Authorized Equipment List (RKB)

AEL#		QTY	Amount
AEL#		QTY	Amount
AEL#		QTY	Amount
AEL#		QTY	Amount
AEL#		QTY	Amount
AEL#	21GN-00-STAX Sales Tax		Amount
AEL#	21GN-00-SHIP Shipping		Amount
AEL#	21GN-00-INST Installation		Amount
PERFORMANCE BOND ESTIMATION (1-4% OF EQUIPMENT COST)			Amount
			TOTAL

## 6. ALIGNMENT WITH THE BAY AREA HOMELAND SECURITY STRATEGY

For more information [CLICK HERE](#) to go to the 2013 Bay Area Homeland Security Strategy Goals and Objectives

**SELECT ONLY ONE GOAL** and up to two Objectives within that goal for this project      Goal

Goal 1. Strengthen the Regional Risk Management and Planning Program

**Objective**

---

Goal 2. Enhance Information Analysis and Infrastructure Protection Capabilities

**Objective**

**Objective**

---

Goal 3. Strengthen Communications Capabilities

**Objective**

---

Goal 4. Strengthen CBRNE Detection, Response, and Decontamination Capabilities

**Objective**

**Objective**

---

Goal 5. Enhance Medical and Public Health Preparedness

**Objective**

**Objective**

---

Goal 6. Strengthen Emergency Planning and Citizen Preparedness Capabilities

**Objective**

**Objective**

---

Goal 7. Enhance Recovery Capabilities

**Objective**

**Objective**

---

Goal 8. Enhance Homeland Security Exercise, Evaluation and Training Programs

**Objective**

**Objective**

## 7. PROJECT MILESTONES

Identify up to ten milestones to be achieved before the end of the twelve month period of performance under the FY 2014 UASI grant. Exact start and end dates of the period of performance are highly subject to change, due to currently unknown state and federal guidance. Our current best guess of the time frame is December 1, 2014 to December 31, 2015. Some Milestones can be achieved prior to the allocation of funding. No purchases can be made prior to completing the execution of your MOU. **For dates use (mm-dd-yyyy). Project Time is the number of months, round up**

Project Start

Project End

Project Time

### Milestone #1

# of days from the Project Start Date to complete this Milestone:

### Milestone #2

# of days from the Project Start Date to complete this Milestone:

### Milestone #3

# of days from the Project Start Date to complete this Milestone:

### Milestone #4

# of days from the Project Start Date to complete this Milestone:

### Milestone #5

# of days from the Project Start Date to complete this Milestone:

### Milestone #6

# of days from the Project Start Date to complete this Milestone:

### Milestone #7

# of days from the Project Start Date to complete this Milestone:

### Milestone #8

# of days from the Project Start Date to complete this Milestone:

### Milestone #9

# of days from the Project Start Date to complete this Milestone:

### Milestone #10

# of days from the Project Start Date to complete this Milestone:

## 8. RESOURCE TYPING

**Complete this section for Equipment and Training Projects only**

### Instructions:

1. Choose from the drop-down menu to select whether the project is equipment or training, the NIMS Typed Discipline, NIMS Typed Resource and NIMS Type #, as published by FEMA's National Integration Center (NIC) that the equipment supports, if NIMS Typed.
  - 1a. If equipment or training is not NIMS Typed, choose "State/Local Other" in drop-down menu and provide State/Local typing or Community of Interest information in the Comments.
2. Choose whether the piece of equipment or training is to "Sustain Current" existing capabilities or will increase or "Add New" capability .
3. Choose the Primary Core Capability that the Typed Resource supports.
4. Enter the cost of the equipment or training.
5. Enter additional information in the Comments, including a brief description of whether the training or equipment purchased sustains existing capabilities; adds or improves an existing capability; or builds a new capability from scratch.

For more information [CLICK HERE](#) to go to the FEMA Resource Typing web site

### Equipment or Training

#### NIMS Typed Disciplines

#### NIMS Typed Resource Supported

#### NIMS Type #

#### State/Local Typed Resource Supported (if applicable)

#### Typed Equipment to be Purchased

#### # of Personnel Trained for Typed Teams

#### # of Typed Teams Trained

#### Sustain Current Capability or Add New Capability

#### Primary Core Capability Supported

#### Cost of Typed Equipment or Training

#### Comments

*A maximum of 300 character  
limit is allowed for this  
response*

**BEFORE YOU SUBMIT YOUR PROJECT PROPOSAL, PLEASE SAVE THE FILE AND EMAIL IT TO [jeff.blau@sfgov.org](mailto:jeff.blau@sfgov.org).  
Report any problems to Jeff Blau at 415-353-5234.**



**To: Bay Area UASI Approval Authority**  
**From: Kevin Jensen, CA UASI Risk Program Manager**  
**Date: September 12, 2013**  
**Re: Item #6: CA Statewide Risk Management Program**

---

**Recommendations:**

Information Only

**Action or Discussion Items:**

Discussion Only

**Discussion/Description:**

The California Coalition of UASIs (CCU) was formed to collaboratively guide statewide UASI activities. By leveraging their collective resources, and entering into an agreement with Digital Sandbox, the CCU initiated the establishment of an effective and sustainable Statewide Risk Management Program.

The PowerPoint presentation is an update on the status of the Program, and an attempt to inform viewers of the latest efforts to sustain, expand and improve the Program via: DAISE (Data Analysis, Information Sharing Enterprise).

091213

AGENDA ITEM # 6

APPENDIX A

CA STATEWIDE PROGRAM  
UPDATE

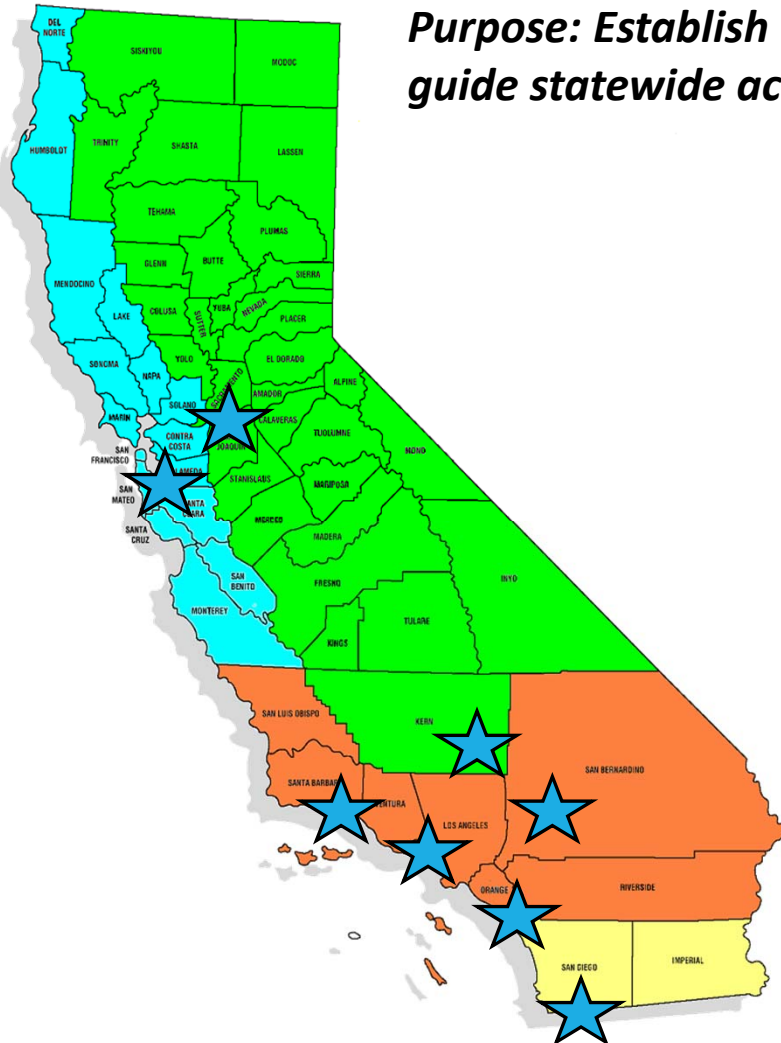
# CA Statewide Program Update

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SEPTEMBER, 2013

# Program History

***Purpose: Establish a Statewide Risk Management Program to guide statewide activities***



## ■ Bay Area UASI

- Started formally analyzing and monitoring threat and risk in 2010
- Soon followed by OCOA, Sacramento, Fresno, and San Diego

## ■ Coalition of California UASIs (CCU)

- Individual programs transitioned to unified CCU program
- Cost-effectively increases capability and the sharing of info and best practices
- Covers 8 major urban areas and their fusion center partners
- Led to on-site contractor resources and a Full Time CA Program Manager



# Program Goals

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## Be Comprehensive Repository for Vetted CIKR Data

- Enable a uniform, statewide assessment tool for CIKR
- Provides vital data to first responders
- Increases situational awareness during emergencies and special events
- Leads to a statewide CIKR profile for planning and data call support

## Provide Threat and Risk Monitoring During All Operations

- Enhance typical common operating picture with analytics and prioritization
- Increases visibility of agencies into highly vetted, structured data
- Promotes regional collaboration and efficiencies

## Support All Risk Analysis Efforts

- Risk results aid in identification of risk mitigation projects (Mitigation Plans, UASI Strategies)
- Fulfills Federal requirements (THIRA, supports IJs)
- Provides foundation for AFN Analysis, detailed Threat and Hazard Analyses

# Progress-Vetted, Structured CIKR Data

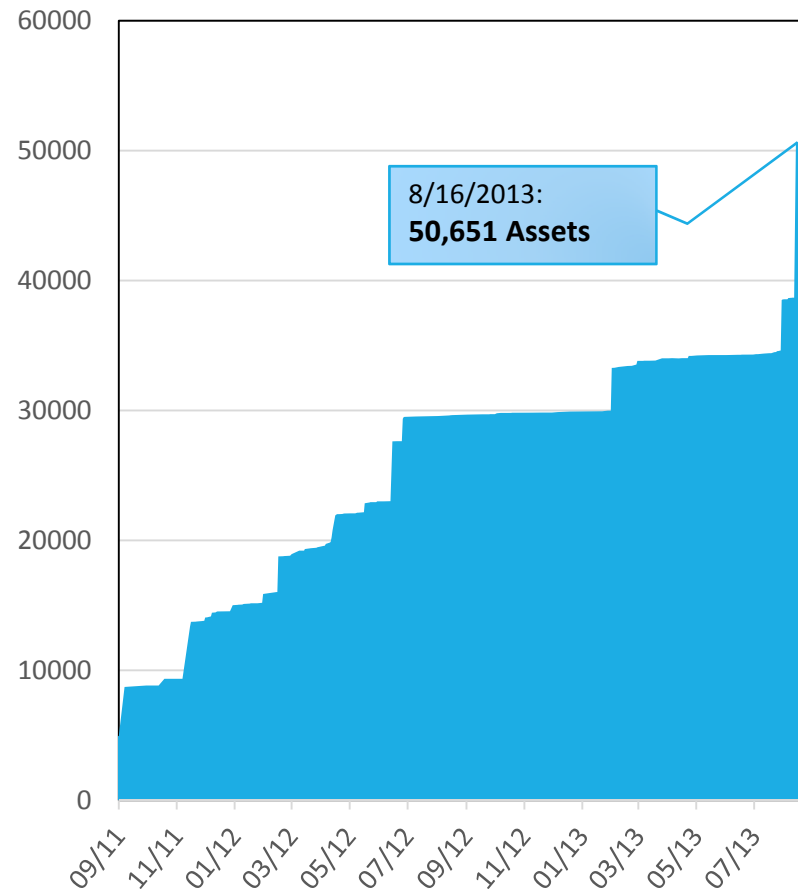
- Between Jan & June 2013 CCU Meetings

- Assets increased 11.6% to a new total of: 34,462
- Biggest increase—LALB with 3,044 new assets

- Between June 2013 and now

- Assets increased 47% to a new total of: 50,651
- Biggest increases—Bay Area +4136, up 47.9%  
--OCA +12,050, up 136.9%

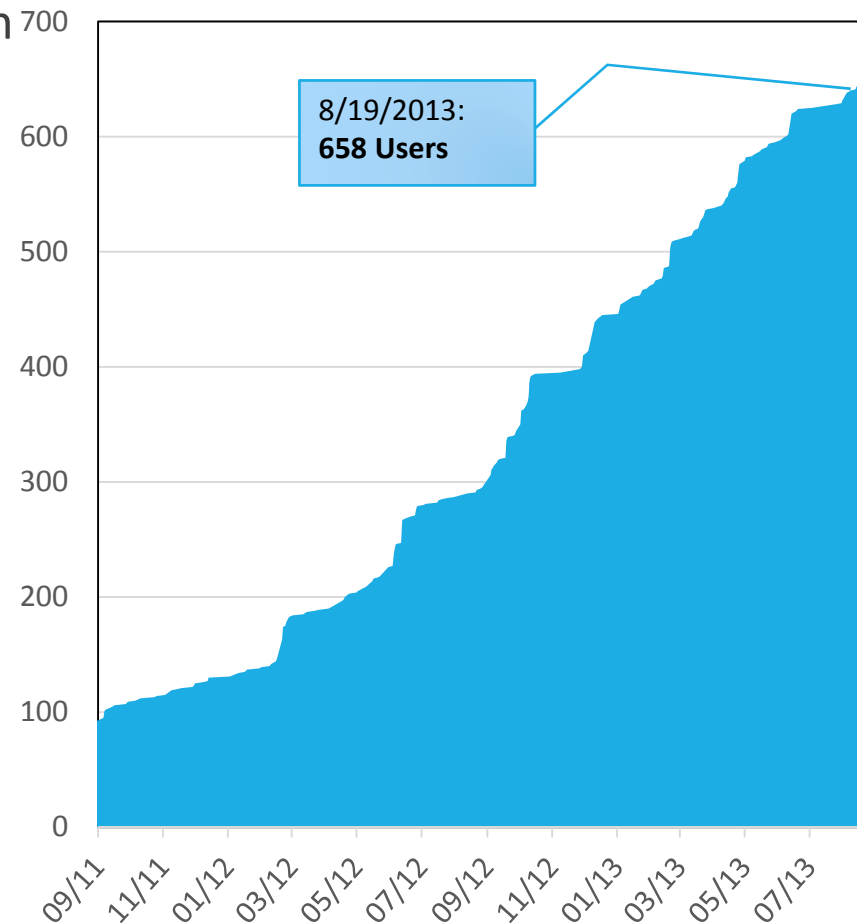
Bakersfield	489
Bay Area	12958
LALB	6274
OCA	20916
Oxnard	525
Riverside	2690
Sacramento	600
San Diego	6199



# Progress-System's New Users

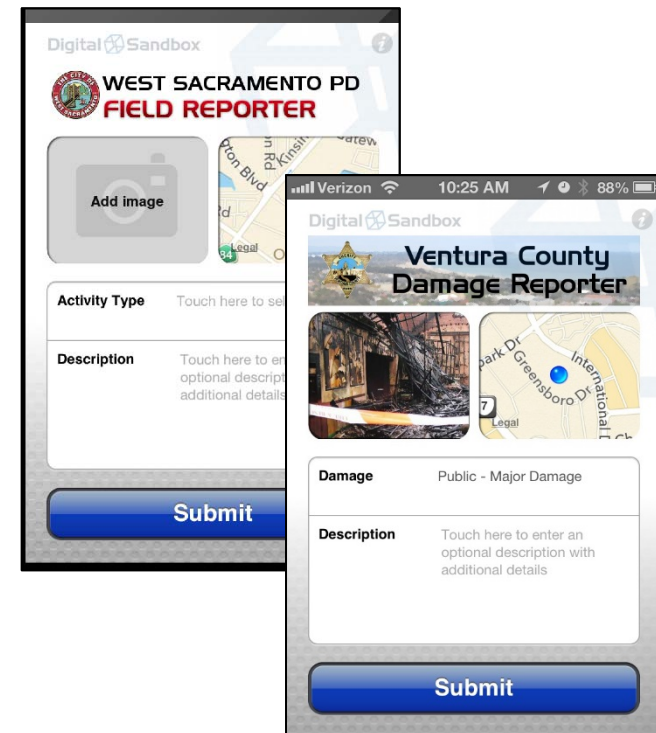
- Since the June 2013 meeting, Bay Area, LALB, Riverside, and OCOA have all grown in number of users
- Biggest percentage increase: Riverside
- Biggest increase in no of users: Bay Area

Bakersfield	7
Bay Area	278
LALB	95
OCOA	108
Oxnard	25
Riverside	55
Sacramento	54
San Diego	36



# Progress-Recent Ops Support

- Pre-Incident Fire Planning
  - Anaheim— Working through department-wide roll out for Fire Planning
  - San Diego— Beginning roll out/analyzing data model
- Field Reporting
  - NCRIC, Folsom, W Sacramento, Ventura
  - LE, EM, Utilities
- Monitoring for Special Events
  - America's Cup and prelim events
  - Bay 2 Breakers
  - World Series (Giants)
- Training (2013)
  - 24 training sessions, 169 users trained
  - LALB, Riverside, OCOA, Bay, Sacramento



# Progress—Risk Analysis

- Allocation to CA UASIs from FY12 to FY13
  - Increased \$13,447,456
  - Increased 13% overall
- To date, risk program supported:
  - 4 initial risk baselines
  - 7 Semi-annual Risk Reports
  - 5 THIRAs (including capability and gap)
- Sacramento UASI
  - Reinstated as recipient of UASI funds in 2013
  - Completed Capability and Gap Analysis, used reports to inform program priorities
  - Used DS7 in slow-rise flood exercise
- Bay Area UASI
  - Used risk results to inform allocation formula for 4<sup>th</sup> year in a row
  - Introduced new transparency to process
  - Customized targets in capability assessments (being assessed right now)

UASI	FY2012	FY2013
Bakersfield		
Bay Area	26,423,268	27,252,169
LALB	61,029,547	65,908,396
OCOA	4,455,106	3,000,000
Oxnard		
Riverside	1,521,937	
Sacramento		3,000,000
San Diego	9,156,712	16,873,461

# PM Facilitates Progress

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## Comprehensive Repository of Vetted CIKR

- Pursuing Fire Data: Oakland, Anaheim, Sunnyvale, Santa Clara County, San Francisco, CCIC
- Supporting updated CIP & Risk: Bay Area UASI, JRIC

## Threat and Risk Monitoring for Operations

- Law Enforcement: Santa Clara SO, JRIC, SFPD, Campbell PD, Palo Alto PD, STAC, California Highway Patrol (CHP), FBI NAA
- Planning for Silicon Valley Turkey Trot—San Jose PD

## Risk Analysis

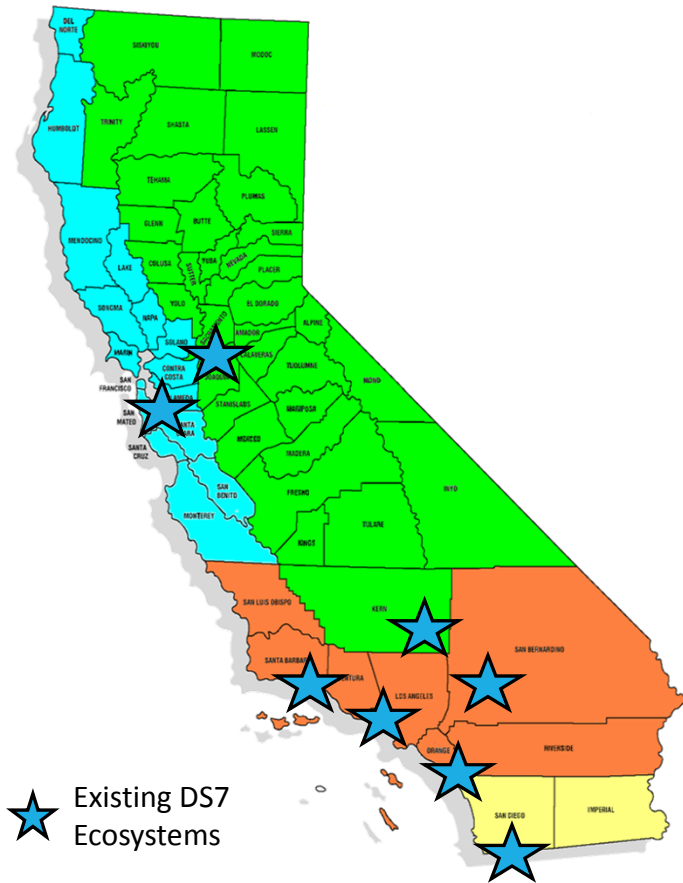
- Customized capability assessments--Bay
- Preparing for 2013 THIRAs—Bay, LALB, OCOA, Sacramento, San Diego

# PM Focuses on Upcoming Action Items

Task	Leaders
<b><i>Operations</i></b>	
Pre-incident Fire Planning	Anaheim, San Diego, Bay
Daily Monitoring (Ex: CAD Integrations)	Bay, Sacramento, LA (Long Beach), OCOA
Field Reporting	Bay, Sacramento
Statewide View: DAISE	All
<b><i>Risk</i></b>	
THIRAs	Bay, LALB, OCOA, Sacramento, San Diego
Capability Assessments	Bay, Oxnard, LALB

# The Need for DAISE

*As existing risk management ecosystems continue to expand, there is a growing need for a common view to share and visualize regional data across the state*



To address stakeholder needs, the ecosystem needs:

- **Effective information sharing:** Share infrastructure, incidents, events, intelligence, and threat information to users across the state
- **Control over sharing:** Control what information is shared to stakeholders in other regions and for how long it is shared
- **Better access to statewide data:** Ability to see a more complete picture of emerging events, leveraging data shared from across the state in an interface optimized for operational use
- **Enhanced collaboration:** Unite the separate systems to provide users the ability to collaborate with other California risk management users, using features such as commenting and messaging



# The Path Forward

*DAISE is an important evolution of the California statewide program and will deliver a significant enhancement to the existing program. The approach includes:*

## Data Sharing & Security Model

*Owners of data have complete control of sharing. Shared data is available to users authorized to view it throughout the enterprise*

## Scalable Solution

*System supports easy integration of statewide data and simplified addition of new jurisdictions or communities of interest*

## Collaborative Design Approach

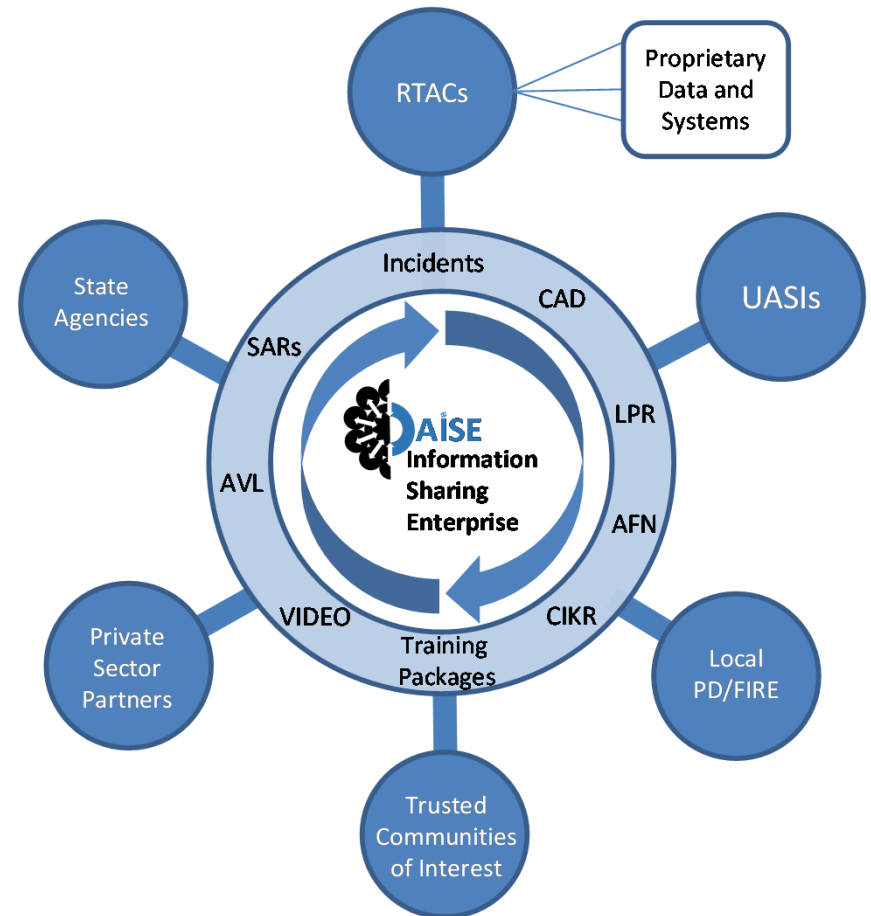
*Stakeholder input will inform the design process through periodic feedback review sessions*

## Statewide Dashboard

*Brand new visualization of shared and local data optimized for operational use*

## Streamlined Training

*New, exportable training packages extend existing training and more easily brings new users into the program*



# The Benefits of DAISE

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*Built upon a unified data sharing environment, DAISE provides many benefits to support statewide daily operational activities*

- **Promotes the sharing** of analytical findings, intelligence and results through a statewide dashboard
- Provides real-time **actionable views and situational awareness** across the State
- Allows pre-fire plans and premise **data to be available across jurisdictions for improved response**
- Enables geo-located **emergency assets and apparatus** from one system to be displayed on a map of a **neighboring jurisdiction** that's authorized to view it
- **Automatic alerts** to neighboring jurisdictions on related threats, suspicious activity reports, and incidents are possible
- **Statewide availability of different data feeds** such as CAD, SARS, AVL, video, and LPR data will be useful in operations that require state context or span regional boundaries
- **On-demand reports** on local or state data and activities

# Historical Financial Info

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**LICENSED SOFTWARE FEES: \$1,552,831**

Perpetual License Conversion	Discount	Price	Annual Maintenance
<i>Licensed Software</i>	<i>MSRP</i>	<i>\$5,540,192</i>	<i>\$997,235</i>
DISCOUNTS			
Volume Discount	25%	(\$1,385,048)	
Good Faith Discount ( <i>see Addendum A</i> )	20%	(\$1,108,038)	
Discount Credit for existing active licenses previously purchased by California Urban Area Subscribers		(\$485,150)	
<i>Net Price After Discounts</i>		<i>\$2,561,956</i>	<i>\$461,152</i>
CREDITS			
Credit of Term License Previously Paid		(\$1,009,125)	
<i>Final Net Perpetual Licensed Software Fee</i>		<i>\$1,552,831</i>	<i>\$461,152</i>

This table shows the Discounting applied to arrive at the one-time Licensed Software Fees.

Between discounts and credits, there was a ~\$4M reduction to support the licensing event keeping the cost under the grant budget and within the grant cycle

**DIGITAL SANDBOX ORDER FORM  
ORDER FORM # 6  
ADDENDUM A**

**CALIFORNIA RISK ANALYSIS AND MANAGEMENT CAPABILITY - STATEMENT OF OBJECTIVES**

In 2011 the California Urban Area Subscribers adopted a consolidated vision for its Risk Analysis and Management capability built upon three core tenets: 1) creating a consistent set of capabilities across all urban areas based upon a shared set of best practices; 2) instituting defined governance policies and procedures common to the urban areas; and 3) creating a long term sustainment plan to ensure that California Urban Area subscribers are investing their time into the utilization of the capability with the understanding that long term sustainability issues are addressed

In an effort to realize these core tenets, the City of San Diego and the California Urban Area subscribers have entered into Order Form #6 on March \_\_, 2012, with Digital Sandbox. This Order Form #6 satisfies two of three core tenets in that it enables a consistent set of software capabilities across all urban areas and, to address long term sustainability issues, the Order Form converts the previously procured term software license to a perpetual license. In addition, this Addendum A to Order Form #6 sets forth a Statement of Objectives and recommended success metrics which will set the framework for instituting defined governance policies and procedures common to the urban areas.

We wanted to provide a connection between the objectives in this Addendum with the Program's Core Tenets. This paragraph calls out the Program's 3 Core Tenets .

This paragraph identifies the alignment of the elements of OF6 and this Addendum to the Program's 3 Core Tenets .

OBJECTIVES	SUCCESS METRICS
<b>Establish a Proactive Governance Model</b>	<ul style="list-style-type: none"> <li>- California Urban Area Subscribers identify a Statewide Program Manager</li> <li>- A Project Manager is identified for each California Urban Area Subscriber</li> <li>- A Digital Sandbox 7 Power User is identified for each California Urban Area Subscriber</li> <li>- Establish a Digital Sandbox Working Group</li> <li>- Establish a regular Digital Sandbox 7 Working Group Meeting that includes attendees from each California Urban Subscriber and Digital Sandbox to oversee the roll-out of best practices</li> </ul>
<b>Establish a Robust Critical Infrastructure and Key Resource (CIKR) Data Acquisition and Assessment Program</b>	<ul style="list-style-type: none"> <li>- Each California Urban Area Subscriber has highly structured catalog of thousands of assets across all CIKR sectors and all priority levels</li> <li>- Each California Urban Subscriber shall conduct annual reviews of the CIKR data in Digital Sandbox 7 to ensure efficacy and accuracy</li> <li>- Each California Urban Area Subscriber is participating in data exchange programs with CIKR owner/operators in their respective jurisdictions</li> <li>- Digital Sandbox 7 is a central, authoritative repository for each California Urban Subscriber</li> <li>- Identify local CIKR assessors to support each California Urban Area Subscriber</li> <li>- California Urban Subscriber Assessors participate in hands on training sessions on all relevant Digital Sandbox 7 assessment tools</li> <li>- Each California Urban Area Subscriber has a developed CIKR assessment plan</li> </ul>
<b>Establish a Robust Pre-Fire Planning Program</b>	<ul style="list-style-type: none"> <li>- A Digital Sandbox 7 Pre-Incident Fire Planner Power User is identified for each California Urban Subscriber</li> <li>- California Urban Subscriber fire department personnel participate in hands on Pre-Incident Fire Planner training sessions</li> <li>- Each California Urban Area Subscriber has a developed Pre-Incident Fire Planner concept of operations</li> <li>- Fire personnel representing a broad swath of departments serving California Urban Area Subscribers are conducting pre-incident fire plans for facilities of concern</li> </ul>
<b>Establish Enhanced Situational Awareness</b>	<ul style="list-style-type: none"> <li>- California Urban Area Subscribers identify multiple feeds that may be integrated with Digital Sandbox 7</li> <li>- California Urban Area Subscribers utilize the Digital Sandbox Threat and Risk Monitor at local command posts, EOC's, etc.</li> <li>- California Urban Area Subscribers collaborate with local, regional, and Federal stakeholders on a common operating picture to manage threat and risk for Special Events</li> </ul>
<b>Establish Enhanced Threat Monitoring Program</b>	<ul style="list-style-type: none"> <li>- California Urban Area Subscribers identify multiple threat feed channels that may be integrated with Digital Sandbox 7</li> <li>- Each California Urban Area Subscriber completes a threat and hazard baseline analysis</li> </ul>

Here we introduce primary Objectives and examples of Success Metrics.

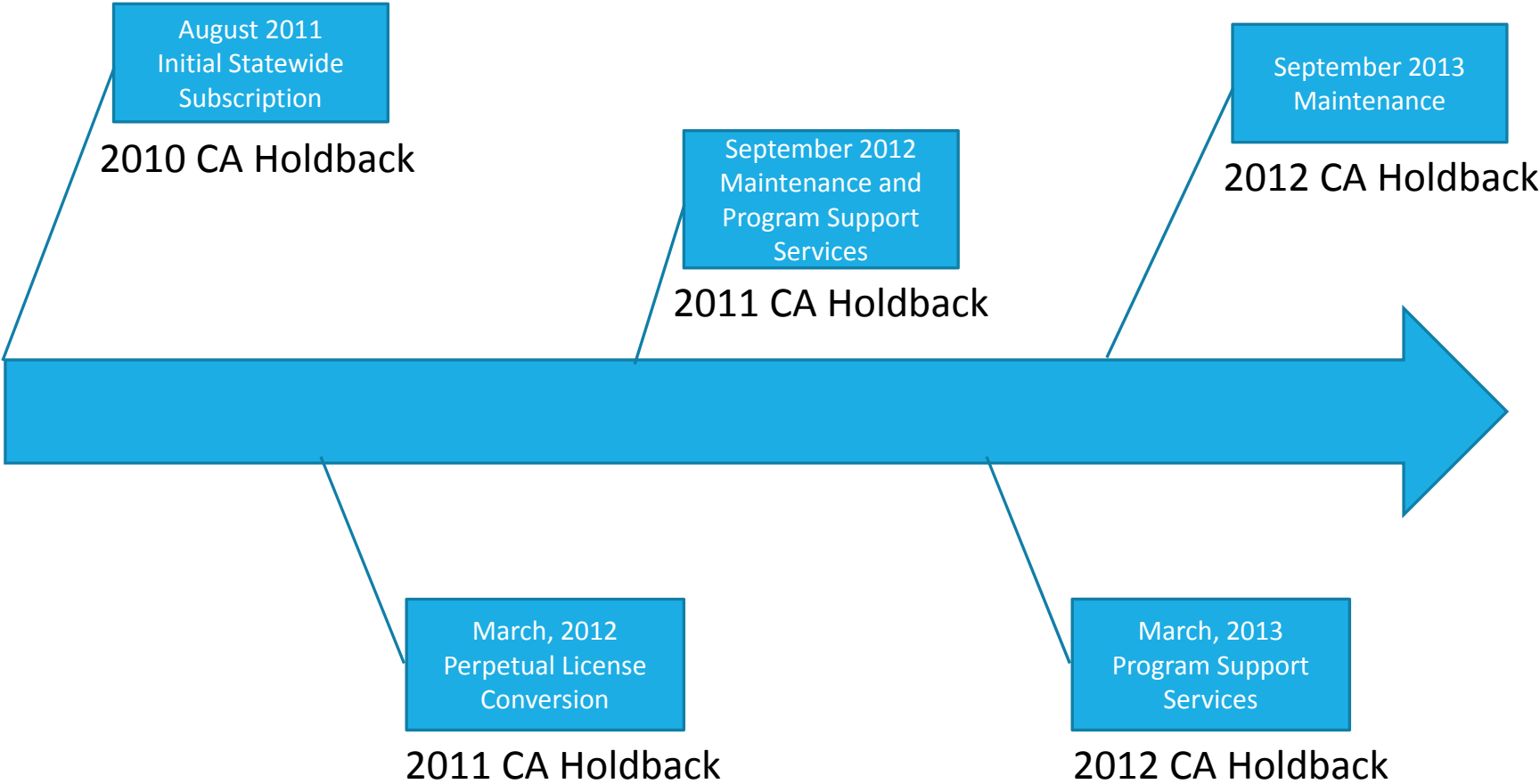
These objectives and metrics are intended to be general enough to accept while providing flexibility for the Urban Areas to shape the program direction .

We expect to develop a more detailed project plan (outside of OF6/Addendum A) in collaboration with the California program leadership.

We envision a mutually agreeable document that further defines the adoption plan along with quantifiable metrics, goals, and reporting to support the implementation of the growth objectives.

This approach allows us to codify the GF discount, immediately remove the licensing and PCII obstacles, and recognize that we will work closely together to develop a plan with the program leadership (outside of this agreement)

# Engagement Contract Milestones



091213

## AGENDA ITEM # 7

### **UASI INVESTMENTS AND THE ASIANA RESPONSE**

(Discussion)

Rob Dudgeon will make a presentation regarding UASI Investments and the Asiana Response. (*Rob Dudgeon will make an oral presentation for this item.*) 5 mins



**To: Bay Area UASI Approval Authority**  
**From: Tristan Levardo, CFO**  
**Date: September 12, 2013**  
**Re: Item 8: RCPGP Quarterly Fiscal Report**

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**Action Requested of the UASI Approval Authority:**

Information only

**Action or Discussion Item:**

Discussion

**Background**

The Regional Catastrophic Preparedness Grant Program (RCPGP) is a FEMA sponsored grant program that provides funding to ten designated sites within the United States. The Bay Area Site, through their regional Urban Area Security Initiative (UASI) governance structure, manages the RCPGP. The emphasis of this grant is on regional planning, training, and exercise across jurisdictional lines in an effort to better prepare for, mitigate, respond to, and recover from all types of catastrophic events. The RCPGP has provided an important all-hazards planning complement to the terrorism preparedness focus provided by the UASI program.

**Financial Information:**

Funding Year	Grant Expiration	Budget	Spent	Obligated	Match Budget	Actual Match
FY10	9/30/13	3,570,000	3,300,223	269,777	1,190,000	1,190,000
FY11	3/28/14	1,281,976	208,699	1,073,277	427,325	171,943

Funding Year	Comments
FY10	Contract with URS and MOUs with Alameda and Oakland expired on 8/31/13. Final claims are pending, and will be processed shortly to close out this grant.
FY11	The above charges represent M&A and claims from URS.



### Reallocation of Grant Funds (less than \$250K)

For the Period January 1, 2013 through June 30, 2013

Jurisdiction	Project, Solution Areas	Project Categories	Initial Allocation	Reallocation	Cumulative Change	Justification
FY2011						
Oakland	A-Risk Management and Planning, Planning	Regional Risk Management	477,800	404,025	(73,775)	Savings from personnel and communication equipment shifted to CBRNE.
Oakland	C-Communications, Equipment	P25 VHF Fire Dispatch Equipment	29,812	-	(29,812)	Purchase of communication equipment changed to CBRNE.
Oakland	A-Risk Management and Planning, Training	Training	-	25,000	25,000	Tactical Officers training.
Oakland	D-CBRNE Detection and Response, Equipment	CBRNE Equipment for Oakland FD	178,409	256,996	78,587	Savings from personnel and communication equipment shifted to CBRNE.
San Francisco	C-Communications, Equipment	SF Alert System	170,000	87,000	(83,000)	Funding shifted from alert system to generators.
San Francisco	G-Recovery Capabilities, Equipment	Generators for Rec and Park	43,850	126,850	83,000	Funding shifted from alert system to generators.
San Francisco	D-CBRNE Detection and Response, Equipment	FLIR Camera for SFFD	65,000	42,000	(23,000)	Funding shifted from camera to enhancement to response vehicle.
San Francisco	D-CBRNE Detection and Response, Equipment	Rapid Response Vehicle for SFFD	32,000	55,000	23,000	Funding shifted from camera to enhancement to response vehicle.
San Francisco	D-CBRNE Detection and Response, Equipment	Command Vehicle for SFPD	985,000	982,000	(3,000)	Funding shifted from vehicle to Marine Unit Training.
San Francisco	D-CBRNE Detection and Response, Training	Marine Unit Training	-	3,000	3,000	Funding shifted from vehicle to Marine Unit Training.
San Jose	B-Information Analysis and Infrastructure	AFR/RMS equipment	650,000	553,515	(96,485)	Funding shifted from RMS equipment to portable radios.
San Jose	C-Communications, Equipment	Portable radios	-	96,485	96,485	Funding shifted from RMS equipment to portable radios.
San Jose	D-CBRNE Detection and Response, Equipment	Watercraft equipment	60,000	91,000	31,000	Savings from planning support were reallocated to watercraft purchase.
San Jose	F-Citizen Preparedness, Planning	Planning support for emergency operations	220,000	189,000	(31,000)	Savings from planning support were reallocated to watercraft purchase.
Santa Clara	D-CBRNE Detection and Response, Planning	Nuclear/Radiation Response Plan	153,000	-	(153,000)	Entire response plan project was shifted to purchase of radios.
Santa Clara	C-Communications, Equipment	P25 radio system	1,200,000	1,353,000	153,000	Entire response plan project was shifted to purchase of radios.
Santa Clara	A-Risk Management and Planning, Planning	Risk Management Program Manager	241,000	95,000	(146,000)	Position has been transferred from Santa Clara to Sonoma.
Sonoma	A-Risk Management and Planning, Planning	Risk Management Program Manager	-	146,000	146,000	Position has been transferred from Santa Clara to Sonoma.
		<b>Grand Total for 2011UASI Reallocation</b>	<b>4,505,871</b>	<b>4,505,871</b>		
FY2012						
Alameda	D-CBRNE Detection and Response, Equipment	Tactical Intervention Vehicle	168,777	236,650	67,873	Savings came from Training and Exercise
Alameda	H-Training and Exercise	Planning	1,700,000	1,632,127	(67,873)	Savings were shifted to tactical intervention vehicle.
Oakland	A-Risk Management and Planning, Planning	Regional Risk Management	550,000	202,473	(347,527)	Savings were shifted to CBRNE from risk management.
Oakland	C-Communications, Equipment	P25 FEC project and toughbook for Oakland FD	250,000	-	(250,000)	Savings were shifted to CBRNE from risk management.
Oakland	D-CBRNE Detection and Response, Equipment	CBRNE Equipment for Oakland FD	291,000	888,527	597,527	Savings were shifted to CBRNE from risk management.
		<b>Grand Total for 2012UASI Reallocation</b>	<b>2,959,777</b>	<b>2,959,777</b>		



**To: Bay Area UASI Approval Authority**

**From: Barry Fraser, General Manager**

**Date: September 12, 2013**

**Re: Item #10: Report from the Bay Area Regional Interoperable Communications System Joint Powers Authority (BayRICS Authority)**

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**Recommendations:**

Receive and File Report

**Action or Discussion Items:**

Report from General Manager of the BayRICS Authority on the activities and progress of the BayRICS Authority for August 2013.

**Discussion/Description:**

**1. BayRICS Administration**

The BayRICS Board of Directors did not hold a meeting in August. The Board's next meeting is scheduled for Thursday September 12 at 1:30 PM at the Alameda County Sheriff OES in Dublin.

**2. Staff Activities**

Staff attended the following meetings over the past month, including:

- Northern California Chapter of the Alliance of Public-Safety Communications Officials (NAPCO) – GM Fraser was asked to speak at the August NAPCO meeting, held aboard the USS Hornet in Alameda on Friday Aug. 9. Over 120 Northern California NAPCO members attended this meeting.
- Alliance of Public-Safety Communications Officials (APCO) Annual Conference – GM Fraser spoke about BayRICS and BayWEB on a panel at the APCO International Conference in Anaheim, CA on August 20. Fraser and TAC representatives also attended meetings with FirstNet directors and staff and APCO special sessions on public safety data communications and systems.
- GM Fraser will attend the FirstNet Public Safety Advisory Committee (PSAC) meeting in San Diego on September 11. Fraser was recently named to represent the National Association of Telecommunications Officers and Advisors (NATOA) on the PSAC.

### **3. First Responder Network Authority (FirstNet)**

**Spectrum Lease Negotiations.** BayRICS has not yet executed a spectrum lease with FirstNet. At its August 13 meeting, the FirstNet Board extended the current deadline to complete lease negotiations with BayRICS to September 30, 2013. However, other BTOP grantees were not so fortunate. Three BTOP projects--Charlotte, NC, Adams County, CO and the state of New Jersey--have concluded negotiations without obtaining a spectrum lease. Currently, only BayRICS, the State of Mississippi and Harris County, TX are still in negotiations (LA-RICS and New Mexico have already obtained leases).

The outstanding issue with our lease negotiations involves a recent request by FirstNet to modify several conditions in the "BOOM" Agreement with Motorola, including changes to certain technical specifications and timing of the transfer of the BayWEB system to FirstNet. GM Fraser met with FirstNet GM Bill D'Agostino and Assistant GM TJ Kennedy at the APCO conference in Anaheim to review the proposed changes and develop a path forward.

Over the next two weeks, BayRICS has scheduled a series of meetings with FirstNet and Motorola to address these issues. An update on these meetings will be provided on September 12.

**FirstNet Meetings and Activities.** The FirstNet Board of Directors held a meeting on August 13. In addition to extending the negotiations period for BayRICS, FirstNet also announced the re-appointment of Directors Sue Swenson, Jeff Johnson and Teri Takai to additional three-year terms. Director Bill Keever announced that he will not return to the Board. His replacement will be named at a later date. FirstNet also approved a \$194 million budget for the 2014 fiscal year.

**California First Responder Network (CalFRN).** On August 28, BayRICS received notice of the formation of California First Responder Network (CalFRN) Board of Directors. This board will oversee the planning and deployment of FirstNet in California. According to the letter, the Board will be made up of 15 members from the following groups:

- Public Safety Communications, Assistant Director (State Point of Contact, FirstNet)
- Governor's Office of Emergency Services, Director
- Department of Technology, Director and California State Chief Information Officer
- California Department Finance, Director
- California Department of Forestry and Fire Protection, Director
- California Highway Patrol, Commissioner
- Emergency Medical Services Authority, Director
- BayRICS, Appointee
- LA-RICS, Appointee
- California Police Chiefs Association, Appointee
- California Fire Chiefs Association, Appointee
- California State Sheriffs Association, Appointee

- Industry, two (2) Representatives
- Tribal, Governor's Office Tribal Advisor

The BayRICS Board will designate a representative to CalFRN at its September meeting.

**California State and Local Implementation Grant Program (SLIGP).** On August 19, the NTIA announced the award of a \$5.6 million SLIGP grant to California. This grant, which requires a 20% match from the State, will help pay the costs of state planning for the FirstNet nationwide public safety broadband network.

# UASI Approval Authority and Management Team Tracking Tool

September 12, 2013 Approval Authority Meeting

Special Request Items/Assignments						
#	Name	Deliverable	Who	Date Assigned	Due Date	Status / Comments
1	Priority capability objectives for FY14 funding cycle and Bay Area Homeland Security Strategy	Presentation	Catherine Spaulding/Josh Filler	8/22/13	10/10/13	
2	Risk allocation formula update	Presentation	Catherine Spaulding	5/13/13	10/10/13	
3	Regional CAD to CAD project update	Report	Jeff Blau	4/23/13	10/10/13	
4	Updates to grants manual	Report	Catherine Spaulding	12/13/12	10/10/13	
5	RCPGP plan adoption update	Report	Janell Myhre/Jennifer Chappelle	6/17/13	11/14/13	
6	Automated license plate readers funding recommendations	Report	Dave Frazer	4/23/13	11/14/13	
7	Update on regional public safety information sharing systems	Presentation	Mike Sena/Dave Frazer	4/23/13	11/14/13	
8	Results of the FY14 Risk Management Process	Presentation	Dave Frazer/Jason Carroll	8/22/13	11/14/13	
9	Medical Surge Project close out	Presentation	Lani Kent	3/6/13	12/12/13	
10	THIRA	Presentation	Jason Carroll	3/6/13	12/12/13	
11	Regional procurement to close out FY11 and FY12 - orders placed and status of delivery	Report	Jeff Blau	3/6/13	12/12/13	
12	Update on Resource Inventory Project	Report	Jeff Blau	5/16/13	1/9/14	
13	Urban Shield 2013 after action results	Presentation	Dennis Houghtelling	3/6/13	1/9/14	
14	RCPGP catastrophic plan full scale exercise integration with Urban Shield 2013 after action results	Presentation	Lani Kent	3/6/13	1/9/14	
15	RCPGP catastrophic plan just in time training close out	Presentation	Lani Kent	3/6/13	2/13/14	
16	FY14 proposed projects	Presentation	Catherine Spaulding	8/1/13	3/14/14	
17	Logistics and Critical Lifelines Planning – Project Completion	Presentation	Janell Myhre	8/22/13	3/14/14	

# UASI Approval Authority and Management Team Tracking Tool

September 12, 2013 Approval Authority Meeting

Regular Items/Assignments						
#	Name	Deliverable	Who	Date Assigned	Due Date	Status / Comments
A	UASI Quarterly Reports	Report	Tristan Levarado		9/12/13	10/10- FY11 UASI; 11/14-FY12 UASI and Travel Expenditures; 12/12- FY12 RCPGP;
B	UASI Advisory Group Report	Report	Mike Sena, Chair		9/12/13	Update from the Advisory Group Meeting
C	BayRICS JPA Progress Report	Report	Barry Fraser		9/12/13	Update from the BayRICS JPA
D	Budget reallocations under \$250,000	Report	Tristan Levarado		9/12/13 (Biannually)	
E	Election of UASI Officers	Discussion & action item	Chair		12/12/13 (Annually)	