**Project Proposal Guidance
for Fiscal Year 2020**

Approved by the Approval Authority on July 11, 2019

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> This guidance provides an overview of the process and requirements for applying for funds through the Bay Area UASI for the FY20 grant year. Please note that this guidance remains interim until the Department of Homeland Security (DHS) releases the FY20 Notice Of Funding Opportunity (NOFO). This guidance does not include the updated rules governing allowable expenses under the UASI grant for FY20.

Section 1. UASI Grant Program Overview

The Bay Area UASI Program provides funding through a grant award by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) and is designed to assist high-threat, high-density Urban Areas in efforts to build, sustain, and deliver the capabilities necessary to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.

Section 2. Grant Planning Efforts

Each year, planning efforts for the Bay Area grant program begin before the release of grant funds. Therefore, eligible application amounts are based on the preceding year's award (e.g. this year, FY 19 award amounts are being used for the FY 20 process). The Bay Area UASI conducts a project proposal process and agencies are required to submit applications into the online WebGrants system. After a review process by the UASI Management Team, Hubs conduct their selection process. Lastly, the region's Approval Authority is presented with all the selected projects for their approval. Final funding amounts depend on the actual grant award and the deduction by the state of their eligible retention funds.

Section 3. Proposal Criteria

All proposals must meet the following criteria:

- Have a clear "nexus to terrorism," – i.e., the proposal must specify how the activities will support preparedness for terrorist incidents
- Directly benefit at least two operational areas
- Support at least one of the region's homeland security goals (see Section 9)
- Include only allowable expenses under UASI grant guidelines (See Appendix C)
- Describe how the proposed investment supports closing gaps or sustaining capacity in one or more of the 32 core capabilities.

In addition, proposals may only be submitted by a government agency within the twelve-county Bay Area UASI footprint and must have approval of the relevant department head. Community-based and nonprofit groups must submit proposals through a government sponsor/partner.

The person who is submitting the form must be the person who will be primarily responsible for implementation of the project ("Project Lead.") This same person is also required to attend the proposal kick off meeting on Thursday September 19 or listen to the webinar version on the UASI website (www.bayareauasi.org) prior to submitting the proposal.

Section 4. Core City Funding

Annually, the Bay Area UASI funds the three cities of Oakland, San Francisco, and San Jose with "core city" funds. Each city receives $1,000,000. All projects using core city funds must follow the same requirements as hub funds (i.e. they must benefit two (2) operational areas and support closing gaps or sustaining capacity in one or more of the 32 core capabilities.

Section 5. Potential Hub Funding Amounts

The Bay Area has been divided into four (4) hubs by geographic area. Most applications will be submitted through your local Hub. As stated above, until the FY20 grant award is announced, the Bay Area will operate under the assumption that the FY20 funding will be equal to the amount allocated in FY19. For reference, below please find the FY19 hub amounts. These will be used in the FY20 cycle for planning purposes:

FY 19 UASI Hub Allocations

East Hub	$ 1,331,862
North Hub	$ 372,470
South Hub	$ 1,416,514
West Hub	$ 2,522,636

- Any project designated by the work group and/or determined by the Management Team as regional or core city may not be submitted through the hub process.

Section 6. Sustainment Projects

Each year, the Bay Area UASI continues funding certain projects "off the top" with approval from the Approval Authority. There are three (3) sustainment projects currently funded by the UASI:

- Northern California Regional Intelligence Center (NCRIC)
- Training and Exercise
- Public Safety Information Sharing

The FY 19 funding amount of these sustainment projects was $9,855,405. This funding amount is subject to change based on the FY 20 grant award.

Section 7. Regional Projects

A regional project is defined as one that benefits at least three hubs in an equitable manner. A proposer wishing to submit a new regional project request must do so through the appropriate work group for review and approval. The list of work groups is provided below in Section 9 "Role of the Work Group".

Any equipment request for purchase by a single jurisdiction and made available to neighboring hubs on an ad-hoc or mutual aid basis does not qualify as a regional project because it does not meet the threshold of benefiting other hubs in an equitable manner.

Note: The amount of available funding for regional projects is based on unspent funds from the past grant year. Therefore, the amount of available regional funds varies from year to year. In FY 19, $1,365,134 was allocated to 11 projects.

Applying for a regional project:

In order to ensure a fair and consistent approach to funding throughout the region, all potential regional projects must be presented to the appropriate work group for vetting and approval.

- The UASI Management Team will send notices to all their work group members, notifying them that regional project proposals must be vetted by the work group and determined to be regional before they can be submitted during the WebGrants process.
- Any proposal designated by the work group and/or Management Team as "hub" or "core city" may not be submitted as regional.
- Proposers of projects designated as regional must confirm the name of the work group that approved their request, the name of the UASI project manager, and the date of the approval in their WebGrant application.
- All work group- approved regional projects will be sent to all Approval Authority members for their review.

Note: It is the responsibility of the proposer to vet their proposal idea with a work group in a timely manner before the October 11 submission deadline. Please see Section 9 below for more information about Bay Area UASI work groups.

Section 8. Developing and Submitting Proposals

FY 20 UASI proposals must be submitted to the Management Team between Friday, September 20 and Friday, October 11, 2019. All proposals must be submitted by 5pm on Friday, October 11. Late proposals will be ineligible.

Kick off Meeting:

All persons submitting FY 20 proposals are required to either attend the FY 20 proposal kick off workshop/webinar on Thursday, September 19, 2019 or review the webinar prior to submitting a proposal (available at www.bayareauasi.org). Please note the Management Team will notify our primary stakeholders of the kick off meeting. However, ultimately, county and core city leadership will be responsible for distributing notification emails regarding UASI project proposal information to a wider audience their cities and agencies.

Drafting your proposal:

All proposers must determine which Goal and Core Capability best fits their project. Attached as Appendix A, is a guide to the drafting of proposals (investment justification). Table 1 in the document indicates the possible proposal number (investment), the Bay Area UASI Goal, and the proper UASI Core Capability. The document also provides further descriptions and projects that may fit into the investment.

WebGrants System:

All proposals must be submitted through WebGrants. A sample proposal can be found in Appendix B of this guidance. The online proposal form will be available as of September 20 upon logging into WebGrants. The Management Team will offer training on using the system for submitting proposals at the Thursday September 19 proposal kick off workshop/webinar.

Additional information:

Local Jurisdiction Internal Vetting:

Many Bay Area UASI jurisdictions undergo their own internal vetting process to identify which proposals should be submitted for UASI funding. Counties sometimes conduct UASI vetting along with their State Homeland Security Program (SHSP) decision-making. Such processes are the responsibility of each jurisdiction. However, the Management Team is available upon request to assist jurisdictions in planning their internal vetting processes.

Management Team Support:

Management Team staff is available to answer questions and provide support on compliance, proposal criteria, as well as using the WebGrants system. All proposers are urged to access Management Team staff assistance in order to submit timely and compliant proposals.

Proposals for Positions:

Funding requests for any staff position must be submitted individually as its own project with its own proposal. Multiple positions may not be bundled within one proposal nor can positions be combined with other funding uses (e.g., equipment, training) within one proposal. Please also note that all staff positions are limited to a maximum duration of 14 months.

Support of THIRA and SPR process:

The Federal Emergency Management Agency (FEMA) requires that the region submit a Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) on an annual basis. The SPR is a self-assessment of the region's current capability levels against the targets identified in the THIRA.

All projects (i.e. core city, hub, or regional) shall describe how the proposed investment supports closing capability gaps or sustaining capabilities identified in the THIRA/SPR process. More detail is provided in Appendix A- "Bay Area UASI FY 2020 Guidance for Writing Your Grant Application".

Section 9. Role of the Work Groups

The Bay Area UASI encourages subject matter experts to discuss possible projects through the Bay Area UASI work groups. Work group meetings are open to all governmental agencies within the twelve county footprint of the Bay Area UASI. They meet on a monthly or quarterly basis and are chaired by project managers from the UASI Management Team. Approval Authority members should ensure their jurisdictions are represented in work groups for optimum inclusion in UASI project discussions.   Each work group aligns with Bay Area UASI Goals which align to California's Investment Justification process. The work groups and their areas of responsibility for FY 20 are:

Investment	Bay Area UASI Work Group	Bay Area UASI Goal	State Homeland Security Goal
1	Intelligence **NCRIC Project Only**	Strengthen Fusion Center Capabilities	Strengthen State Threat Assessment System
2	CBRNE / PRND	Protect Critical Infrastructure and Key Resources	Protect Critical Infrastructure and Key Resources
3	Cyber Resiliency	Enhance Cybersecurity	Enhance Cybersecurity
4	Public Information and Warning BayRICS Radio Operators Advisory Group	Strengthen Emergency Communications Capabilities	Strengthen Emergency Communications Capabilities
5	Medical and Public Health	Enhance Medical and Public Health Preparedness	Enhance Health and Medical Preparedness
6	Public Safety Information Sharing	Preventing Violent Extremism	Preventing Violent Extremism

Investment	Bay Area UASI Work Group	Bay Area UASI Goal	State Homeland Security Goal
7	Emergency Management	Enhance Community Resilience	Enhance Community Resilience
8	Public Safety Information Sharing **ALL NON-NCRIC projects**	Strengthen Information Sharing and Collaboration	Strengthen Information Sharing and Collaboration
9	Emergency Management	Enhance Multi-Jurisdictional/Inter-Jurisdictional All-Hazards Incident Planning, Response & Recovery Capabilities	Enhance All Hazard Incident Planning, Response, & Recovery
10	Training Personnel **ONLY**, all exercises and classes assigned to pertinent work group	Homeland Security Exercise, Evaluation, and Training Programs	Homeland Security Exercise, Evaluation, and Training Program

Bay Area UASI work groups have a special role in vetting regional proposals. Regional proposals need to be vetted and approved by a Bay Area UASI work group prior to the October 11, 2019 proposal submission deadline.

Please contact Janell Myhre, Bay Area UASI Regional Program Manager, at (415) 353-5244 or Janell.Myhre@sfgov.org for information on work groups and their meeting schedules.

Section 10. Proposal Review Process

On October 11, the Management Team will begin reviewing all submitted proposals for compliance with the proposal criteria (see Section 3). Proposals that do not meet the criteria will be ineligible and will be removed from further consideration for funding.

The Management Team will also undertake a financial and programmatic review of all proposals. Proposers may be contacted to correct errors and resubmit proposals, and/or the Management Team may make such corrections and notify the proposers. Proposals that are not resubmitted by the designated date will not proceed further in the review process.

The Management Team will share proposals with Approval Authority members for review in November and then with hub voting members in December 2019. See sections below for more details on the hub and other review processes, as well as Section 13 for the summary timeline.

Section 11. Role of Hub Voting Members

The Bay Area UASI utilizes hub groups to prioritize proposed projects submitted by local government jurisdictions. Hubs are based on the geographical location of agencies grouped by county in four sectors of the Bay Area - North, East, South and West (see map on page 9).

Hub Composition:

In the fall, the Management Team will ask each Approval Authority member to assign one (1) to three (3) people to represent his or her county/core city in the hub proposal prioritization process. Please note that the Approval Authority members may make other arrangements for representation at hub meetings, provided that this is the agreement of all the Approval Authority members representing those counties/core cities of the hub in question. Hub representatives are referred to as "hub voting members." Approval Authority members are urged to appoint representatives to serve as hub voting members that reflect the diversity of the Bay Area Homeland Security Goals.

Preparations for Hub Prioritization:

On December 13, 2019, the Management Team will provide hub voting members with all submitted proposals for their hubs that meet the specified criteria on page 2 of this guidance and that have been confirmed by the corresponding jurisdiction's Approval Authority member. Hub voting members should become familiar with all hub proposed projects prior to the hub meeting and come to the hub meeting prepared to discuss project submissions with other hub voting members. The Management Team is available to assist hub voting members with any questions or concerns, including arranging information from regional subject matter experts in advance of the hub deliberations.

Proposal Prioritization Process:

The Management Team will convene hub prioritization meetings in January 2020. The goal of each hub meeting is to create a list of projects in order of priority. The amount of available funding for each individual hub is based on the previous year's awarded allocation (see Section 5 for these amounts).

Each hub will develop a list of these prioritized projects based on regional need and local capabilities. Hubs may also designate other criteria as mutually agreed upon (e.g., provides scalable solutions, leverages other funding sources, and benefits the most operational areas.) Ideally, these projects will be prioritized by agreement of all the members. However, if necessary, a vote may be taken.

Projects will be listed as "above the line" or "below the line". The "line" is defined as the expected grant funding to be awarded to the hub based on the previous year's amount. So, a project that is placed "above the line" falls within the expected allocation amount. Alternatively, a project that is placed "below the line" falls outside of the expected allocation amount. Each hub should carefully develop their list of "below the line" projects.

Please note: If additional funds become available for any reason, the Management Team will utilize the currently approved prioritized list to appropriate funding to "below the line" projects.

Modifications to Proposals:

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

Facilitation of Hub Meetings:

All four hubs will have decision-making meetings coordinated, facilitated, and led by UASI Management Team staff members during January 2020.
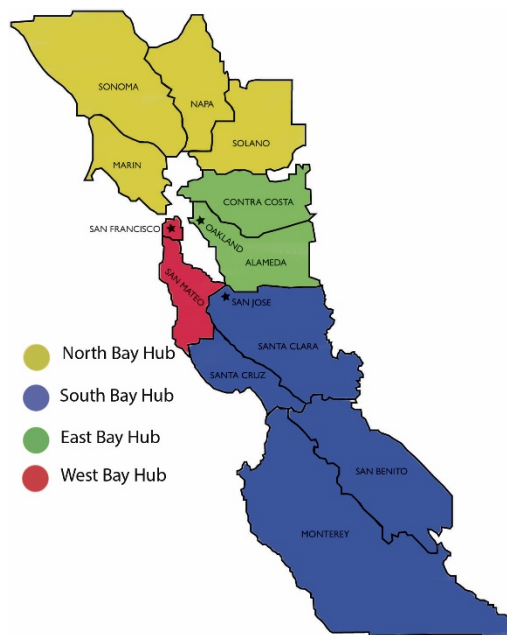
Section 12. Role of the Approval Authority

The following is a summary of key actions, responsibilities, and decision-points for Approval Authority members in the FY20 proposal process:

- **Work Groups**: Approval Authority members should ensure that their jurisdictions are represented on Bay Area UASI work groups (see Section 9, Role of the Work Groups).

- **Hub Voting Members**: Approval Authority members should designate hub voting members to participate in hub meetings. The Management Team will solicit this information from members in the fall of 2019. (See Section 11, Role of Hub Voting members).

- **Proposal Compliance:** Approval Authority members should ensure that those submitting FY 20 proposals attend the proposal kick off meeting on Thursday, September 19 or review the webinar online at www.bayareauasi.org.   All proposers are required to attend/view the presentation. (See Section 3, Proposal Criteria and Section 8, Developing and Submitting Proposals, for more information).

- **Proposal Review**: Approval Authority members will have the opportunity to review their jurisdictions' proposals and all regional projects from November 12 – 29, 2019.   The member may remove a hub project from consideration by notification to the Management Team and the proposer.

- **Approve Regional Projects**: Approval Authority members will approve the list of all regional proposals. This will occur at the January 9, 2020 Approval Authority meeting.

- **Approve All Other Projects**: Approval Authority members will review/approve all hub projects recommended by hub voting members. This will take place at the March 12, 2020 Approval Authority meeting or as soon as possible following FEMA's issuance of the Homeland Security Grant Program Notice of Funding Opportunity (NOFO).

- **Approve Grant Allocations**: Approval Authority members will approve allocation amounts among the categories of core city allocations, regional projects, and hub projects. This action will take place at the next Approval Authority meeting following FEMA's issuance of the NOFO, estimated to be the March 12, 2020 Approval Authority meeting.

- **Approve Budget Changes:** Any jurisdiction requesting either a budget change for a project exceeding $250,000 or a timeline change in which the final completion date is delayed by more than six (6) months, will require the jurisdiction to request approval by appearing before the Approval Authority at one of their scheduled meetings. Request to make changes to any project must be made prior to the end of the period of performance. Prior to releasing the subaward, the Management Team may be required to evaluate each jurisdiction's risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the MOU. The Management Team may also provide training and technical assistance on finance and programmatic matters, as necessary.

Section 13. Summary Timeline

WHO	WHAT	WHEN	DESCRIPTION
Management Team	Outreach	July 2019	Management Team sends the FY20 project proposal guidance to UASI stakeholders
UASI Work Groups	Proposal discussions	July - September 2019	Work groups discuss regional gaps and priorities and review potential regional proposals
Management Team	Kick off workshop and webinar	September 19, 2019	This meeting/webinar is required for all those submitting proposals.
UASI Stakeholders	Proposal submissions	September 20 – October 11, 2019	UASI stakeholders submit proposals through the WebGrants system.
Management Team	Compliance review	October 14 – November 8, 2019	Management Team reviews proposals and checks for compliance.
Approval Authority	Proposal review	November 12 – 29, 2019	Review period for Approval Authority members.
Hubs	Proposal review	December 13, 2019	Management Team sends proposals to hub voting members for review.
Hubs	Prioritize	January 2020	Hubs meet on specific days in January 2020 and list projects in order of importance.
Approval Authority	Approve existing regional projects	January 10, 2019	Existing regional project proposals presented to the Approval Authority.
Approval Authority	Approve	March 13, 2020 (estimate)	Approval Authority approves hub and new regional projects as well as FY20 allocations

APPENDIX A

Bay Area UASI
FY 2020
Guidance for Writing Your
Grant Application

July 2019

INTRODUCTION

The purpose of this guidance is to assist in developing and writing project proposals (investment justifications), and aligning them with the correct investment areas, core capability, and capability target.

Define and Develop Your Project

The budget elements of a project must include one of the following POETE categories:

- Planning/Plans/Personnel
- Organization/People/Teams
- Equipment
- Training
- Exercises

Project Development Principles

When developing a project, the following principles should apply:

- **Be descriptive, but brief.** A project description should be no more than two to three sentences. Do not include unnecessary information that doesn't describe what the project is truly about.

- **Give the project a clear name.** Directly link the name to the project description and provide a clear indication of the focus of the project. For example, "public information officer (PIO) Training", "HazMat Team Equipment", or "Cybersecurity Assessment of City's Networks" are all valid project names. Project names such as "Exercises" or "Data Sharing" are too vague.

Remember, all project must have a nexus to terrorism preparedness, even if it will also address natural hazards preparedness.

Describe the Project

Please include the following information when developing and describing a project:
- **Who** the project is for, e.g., your city/county's HazMat team, bomb squad, or emergency operations center (EOC), etc.?
- **What** the project entails, e.g., develop plans, purchase equipment, conduct training, etc.?
- **When** will you be working on this project?
- **Where** is your jurisdiction?
- Describe **why** the project is necessary, or the intended benefit/outcome.

The following is an example of effective project description:

- *Install fencing, lighting, and gates, at the Water Treatment Plant, in Alameda County,*

> *in 2020, to protect the plant from unauthorized intrusion.*

Using the "why" element of these projects is the best way to help determine which is the most appropriate Core Capability. If your project describes improving emergency communications capabilities, then you will use "Operational Communications" as your Core Capability.

The following are examples of insufficient project descriptions.

- Incident Command System (ICS) 300 and 400 training
- Encryption Hardware/Software
- HazMat response team training, CERT training, PIO training

None of the above projects provides enough detail to understand what the projects entail. In the third example, multiple types of training are grouped together but each has a different Core Capability.

SIX STEPS TO DEVELOPING YOUR PROJECT:

STEP ONE
Determine the appropriate IJ number. Below is the list of Investment Justifications (IJs) or projects with a brief description. Please review them to assist in determining which description is the best fit. Each IJ has a few sample examples to guide you in your selection.

IJ 1: Strengthen Fusion Center Capabilities

DHS/FEMA requires that each UASI must submit a "fusion center IJ". This means only projects with a **direct nexus** to the NCRIC and to Terrorism Liaison Officers (TLO) will use this IJ. Any project assigned to this IJ must have a direct link to a fusion center:

- Fusion center analyst salaries
- Cybersecurity unit operating within a fusion center
- Fusion center equipment
- TLO training

IJ 2: Protect Critical Infrastructure and Key Resources

IJ 2 covers critical infrastructure activities with no direct nexus to a fusion center. Per Cal OES, food/agriculture preparedness activities will also fall under this IJ. The CBRNE/PRND work group is responsible for reviewing these projects. IJ 2 projects **may** include examples such as:

- Cameras, lighting, gates, bollards, fencing, etc., at critical infrastructure sites
- **Non-fusion center** staff costs
- Livestock trailer for evacuation

IJ 3: Enhance Cybersecurity
IJ 3 covers cybersecurity activities outside the direct nexus to a fusion center. The UASI's cyber resiliency work group covers this type of project. Examples of projects that **may** fit under IJ 3

include:

- Information security systems
- Software upgrades for information system and network security
- Cybersecurity related training
- Cybersecurity analyst

IJ 4: Strengthen Emergency Communications Capabilities

IJ 4 covers two broad categories – emergency responder communications, and public information and warning. Two work groups- Public Information and Warning and BayRICS cover these projects. Projects that **may** fall under IJ 4 include these examples:

- Radio purchases
- 911 dispatch systems
- Public alert and warning systems
- Joint information center exercises

IJ 5: Enhance Medical and Public Health Preparedness

IJ 5 covers public health, hospital, and emergency medical based projects. The Health and Medical work group covers these types of projects. Sample projects that **may** fall under IJ 5 include:

- Public health laboratory equipment
- Medical supplies
- Isolation and quarantine planning
- Emergency Medical Services (EMS) equipment and training

IJ 6: Preventing Violent Extremism

PVE programs are community-led efforts aimed at improving coordination and collaboration among stakeholders to raise awareness for the indicators of homegrown violent extremism, or domestic terrorism through training and education initiatives. The Public Safety and Information Sharing work group is assigned to projects affiliated with the IJ.

IJ 7: Enhance Community Resilience

IJ 7 is the project designed for community programs to assist residents prepare for a disaster or emergency. The Emergency Management work group covers these types of projects. Projects that **may** fit under IJ 7 include these examples:

- Community Emergency Response Team (CERT) programs
- Volunteer or donations management planning
- Ready campaigns, such as public service announcements, websites, brochures, etc.

IJ 8: Strengthen Information Sharing and Collaboration

This is the UASI's non-fusion center information sharing investment project. The Public Information and Sharing work group covers these types of projects. Sample project areas covered here should include any information sharing activities **NOT** covered by a fusion center, such as:

- ALPR equipment
- Specialized equipment to track suspects

IJ 9: Enhance Multi-Jurisdictional/Inter-Jurisdictional All Hazards Incident Planning, Response & Recovery Capabilities

IJ 9 is the investment with the largest number of total projects, as it covers the broadest scope of potential projects in both the response and recovery areas. In short, IJ 9 may be the default home for projects that have no other clear IJ under which they fit. Potential types of sample projects that may fall under IJ 9 include:

- EOC upgrades or exercises
- WebEOC projects
- Fire incident response equipment
- Mass evacuation plans
- HazMat team training
- Mass care plans
- Search and rescue team equipment
- Bomb squad equipment
- Special Weapons and Tactics (SWAT) team training
- Recovery planning

IJ 10: Homeland Security Exercise, Evaluation, and Training Programs

This investment area covers training and exercise **infrastructure**, and not specific trainings and exercises. This approach treats training and exercise activities as supporting capability building that falls within any one of the other IJ areas and is consistent with the purpose of training and exercises. The Training and Exercise work group will assist with determining the submission of classes as well as which IJ they may fall under. Projects that **may** fit under IJ 10 include these examples:

- Training and exercise program staff
- Equipment for multi-purpose training and exercise facilities
- Multi-year training and exercise plan updates and/or conferences

STEP TWO:

Once you select the appropriate goal for your project, review the Core Capabilities associated with them. These core capabilities will be in the form of a drop down menu on the application in WebGrants.

STEP THREE:

Once you have selected the Investment Justification number and the correct core capability, please select the appropriate Capability Target (listed in the table below). Capability targets indicate a measurement of success- either describing the impact of the project or the measureable outcome of the project. These Capability Targets will also appear in the form of a drop down menu on the application in WebGrants.

STEP FOUR:

Next, select the nexus to terrorism using the drop down menu and then briefly describe this nexus. To complete this section, please describe your project using the criteria described on page 2 of this guidance.

STEP FIVE:

Fill out the timeline and milestone sections. The **timeline** begins on 11/1/20 and ends on 12/31/21. In filling out the **milestone** section, select appropriate milestones from the drop down menu. Remember to keep the milestone dates within the grant performance period. Finally, **e**verything takes longer than you think, so **BE REALISTIC**!

STEP SIX:

Answer the compliance questions and complete the budget using the POETE categories described on page 2. Once you have completed this section, your application is ready to submit!

Aligning Proposals to the Bay Area UASI's Goal Area, Core Capabilities, and Capability Target

Once you have determined which Investment Justification you plan to use for your project, you must align it with the most appropriate core capability and capability target.

The Table below indicates the Investment Justification Number, the UASI Goal Name, the Core Capability(ies) associated with the Goal Area, and the Capability Targets associated with each investment. Please use this guide to complete your application.

Table 1: IJ Goals, Core Capabilities, and Capability Target Alignment

IJ #	UASI Goal Name	UASI Core Capability	Capability Target
1	Strengthen Fusion Center Capabilities	Intelligence and Information Sharing	Review ability to effectively execute intelligence cycle: identify/analyze local context of the threat/facilitate the sharing of threat information with priority intelligence stakeholder agencies/entities.
		Threat and Hazard Identification	Assess realistic threats and hazards that would significantly impact your communities
2	Protect Critical Infrastructure and Key Resources	Risk Management for Protection Programs & Activities	Conduct review of relevant physical and cyber threats & hazards, vulnerabilities, & strategies for risk management covering publicly managed and/or regulated critical infrastructure facilities
		Physical Protective Measures	Review & update physical security plans covering publicly managed and/or regulated critical infrastructure facilities.
		Access Control & Identity Verification	Be prepared to accept credentials from partner organizations involved in incident management.
		Long-term Vulnerability Reduction	Review building codes, enact /update risk-appropriate, disaster resilient building codes.
		Infrastructure Systems	Restoration of service to customers without water/wastewater service service/power service.
			Restoration of service to customers without communication service.
			Restoration of service to customers without power service.
3	Enhance Cybersecurity	Cybersecurity	Review & update cyber incident plans/annexes based on evolving threats covering publicly managed and/or regulated critical infrastructure facilities.
4	Strengthen Emergency	Operational Communications	Establish & maintain interoperable communications with partner organizations involved in incident management.

		Communications Capabilities	Public Information and Warning	Upon notice of an incident, deliver reliable and actionable information to people affected, including people with access and functional needs and people with limited English proficiency.
5	Enhance Medical and Public Health Preparedness		Public Health, Healthcare, and Emergency Medical Services	For people requiring medical care, complete triage, begin definitive medical treatment, and transfer to an appropriate facility.
			Fatality Management	For fatalities, complete the recovery, identification, and mortuary services, including temporary storage services.
			Environmental Response/Health Safety	Assess, contain, & begin cleaning up hazardous material releases from hazmat release sites.
				Complete decontamination procedures for exposed individuals due to a hazmat-related incident.
6	Preventing Violent Extremism		Planning	Update all emergency operations plans; define roles and responsibilities of partner organizations involved in incident management; define sequence & scope of tasks needed to prevent, protect, mitigate, respond to, and recover from events.
7	Enhance Community Resilience		Community Resilience	Encourage households to acquire risk-appropriate insurance coverage, including homeowners, flood, windstorm, and seismic.
8	Strengthen Information Sharing and Collaboration		Intelligence and Information Sharing	Review ability to effectively execute intelligence cycle: identify/analyze local context of the threat/facilitate the sharing of threat information with priority intelligence stakeholder agencies/entities.
			Risk and Disaster Resiliency Assessment	Identify threats and hazards of concern and model the impacts of threat and hazard scenarios to incorporate into planning efforts.
			Threats and Hazards Identification	Assess the threats and hazards that are realistic and would significantly impact your communities.
9	Enhance Multi-Jurisdictional /Inter-Jurisdictional All-Hazards Incident Planning, Response & Recovery Capabilities		Situational Assessment	Provide notification to leadership and partner organizations involved in incident management of the current and projected situation.
			Operational Coordination	Establish and maintain a unified and coordinated operational structure & process across with partner organizations involved in incident management.
			Planning	Update all emergency operations plans; define roles and responsibilities of partner organizations involved in incident management; define sequence & scope of tasks needed to prevent, protect, mitigate, respond to, and recover from events.
			Forensics and Attribution	After a terrorist attack, conduct outreach to fusion center & Joint Terrorism Task Force (JTTF); identify personnel assigned to support follow up information sharing, intelligence analysis, and/or investigative actions (i.e.

			the collection, examination, and analysis of evidence, & identification of perpetrators).
		Screening, Search, and Detection	Conduct screening, search, and detection operations for people requiring screening.
		Interdiction and Disruption	Upon identification or notification of a credible threat, conduct outreach to the fusion center and Joint Terrorism Task Force (JTTF) in the community; identify personnel assigned to support follow up interdiction & disruption activities that may be undertaken against identified suspects and/or contraband.
		Supply Chain Security and Integrity	Promote awareness of threats, dependencies, vulnerabilities, and strategies to support restoration of private sector supply chains.
		Environmental Response/Health & Safety	Assess, contain, & begin cleaning up hazardous material releases from hazmat release sites.
			Complete decontamination procedures for exposed individuals due to a hazmat-related incident.
		Mass Care Services	Provide emergency sheltering, food, and water for people and animals.
			Move people requiring temporary, non-congregate housing, including people with access and functional needs from congregate care to temporary housing.
		Mass Search and Rescue Operations	Conduct search and rescue operations for people requiring rescue.
		Logistics & Supply Chain Management	Identify, mobilize, and maintain life-sustaining commodities, resources, and services to people requiring shelter and people requiring food and water.
		On-scene Security Protection/Law Enforcement	Provide security and law enforcement services to protect emergency responders and people affected.
		Fire Management and Suppression	Conduct fire-fighting operations to suppress and extinguish structure fires.
		Natural and Cultural Resources	Restore damaged natural and cultural resources and historic properties registered in the jurisdiction.
		Health and Social Services	Restore functions at affected healthcare facilities and social service organizations.
		Critical Transportation	Complete the evacuation of people requiring evacuation.
			Clear roads affected, to enable access for public, private, and non-profit emergency responders.
		Economic Recovery	Reopen businesses closed due to the incident.
		Housing	Assist people requiring long-term housing, including people with access and functional needs, find and secure long-term housing.

10	Homeland Security Exercise, Evaluation, and Training Programs	Planning	Update all emergency operations plans; define roles and responsibilities of partner organizations involved in incident management; define sequence & scope of tasks needed to prevent, protect, mitigate, respond to, and recover from events.

APPENDIX B
Allowable Expenses

July 2019

Please note that DHS has yet to issue guidelines for FY20. In the absence of this information, below please find the allowable spending information for FY19. At this time, the Management Team does not anticipate changes in the allowable spending guidelines in the FY20 Notice of Funding Opportunity. The Management Team will update stakeholders on any such changes in a timely manner.

The following is a summary of allowable spending areas under the UASI program as it pertains to the Bay Area UASI. Please contact the Bay Area UASI Management Team for clarification, should you have questions regarding allowable cost items. The spending areas are broken out under planning, organization, equipment, training and exercises (POETE) spending areas. This matches the DHS mandated budget sections for Investment Justifications that the Bay Area must submit in order to receive DHS funding. The spending areas below outline what is allowable and are not lists of what the region should or must purchase.

Recipients must comply with all the requirements in 2 C.F.R. Part 200 (*Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*).

Planning

Funds may be used for a range of emergency preparedness and management planning activities such as those associated with the development, review and revision of the THIRA, SPR, continuity of operations plans and other planning activities that support the National Preparedness Goal, placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v 2.0. For additional information, please see *http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf*.

Organization

Organizational activities include:

- Program management;
- Development of whole community partnerships;
- Structures and mechanisms for information sharing between the public and private sector;
- Implementing models, programs, and workforce enhancement initiatives to address ideologically-inspired radicalization to violence in the homeland;
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- 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.

States and Urban Areas must justify proposed expenditures of UASI funds to support organization activities within their Investment Justification (IJ) submission. All State Administrative Agencies (SAAs) are allowed to utilize up to 50 percent (50%) of their SHSP funding and all Urban Areas are allowed up to 50 percent (50%) of their UASI funding for personnel costs. Personnel hiring, overtime, and backfill expenses are permitted under this grant only to the extent that such expenses are for the allowable activities within the scope of the grant. Personnel expenses may include but are not limited to: training and exercise coordinators, program managers and planners, intelligence analysts, and statewide interoperability coordinators (SWIC).

At the request of a recipient of a grant, the FEMA Administrator may grant a waiver of the 50 percent (50%) limitation noted above. Requests for waivers to the personnel cap must be submitted by the authorized representative of the SAA (or recipient agency) to Grants Program Directorate (GPD) in writing on official letterhead, with the following information:

- Documentation explaining why the cap should be waived;
- Conditions under which the request is being submitted; and
- A budget and method of calculation of personnel costs both in percentages of the grant award and in total dollar amount. To avoid supplanting issues, the request must also include a three-year staffing history for the requesting entity.

Organizational activities under UASI include:

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:

- 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

All fusion center 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. A certificate of completion of such training must be on file with the SAA and must be made available to the recipient's respective FEMA HQ Program Analyst upon request.

Operational Overtime Costs. In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism and other catastrophic events, operational overtime costs are allowable for increased protective security measures at critical infrastructure sites or other high-risk locations and to enhance public safety during mass gatherings and high-profile events. In that regard, HSGP recipients are urged to consider using grant funding to support soft target preparedness

activities. UASI funds may be used to support select operational expenses associated with increased security measures in the authorized categories cited in the table below, but this table is not exhaustive. DHS/FEMA retains the discretion to approve other types of requests that do not fit within one of the categories of the table.

Table 1: Authorized Operational Overtime Categories

	Category	Description
1	**National Terrorism Advisory System (NTAS)**	Security measures in response to an increase in the threat level under the NTAS to an "elevated" or "imminent" alert status. GPD Information Bulletin No. 367, *Impact of National Terrorism Advisory System on Homeland Security Grant Programs*, remains applicable; therefore, advance authorization from FEMA is not required. Refer to https://www.dhs.gov/topic/ntas for additional information on the NTAS.
2	**National Security Special Event (NSSE)**	Security measures for a designated NSSE. NSSEs are events of national or international significance deemed by DHS to be a potential target for terrorism or other criminal activity.
3	**Special Event Assessment Rating (SEAR) Level 1 through Level 4 Events**	Security measures required for SEAR Level 1 through Level 4 events as designated by the Department of Homeland Security (DHS) and included in the DHS National Special Events List, as defined below: • SEAR 1: A significant event with national and/or international importance that may require extensive Federal interagency support; • SEAR 2: A significant event with national and/or international importance that may require some level of Federal interagency support. • SEAR 3: An event of national and/or international importance that requires only limited Federal support. • SEAR 4: An event with limited national importance that is managed at state and local level. NOTE: In cases where a threat of terrorism can be associated with a SEAR Level 5

		event, the event planners should coordinate with their state or territory Homeland Security Advisor to seek re-adjudication of the SEAR rating. Operational overtime for security measures associated with such events will be considered for approval by FEMA if re-adjudication results in a SEAR 1 through 4 rating.
4	**States of Emergency**	Declarations of states of emergency by the Governor associated with a terrorism-related threat or incident. This excludes Presidentially-declared major disasters or emergencies where federal funding support for the proposed grant-funded activity is made available through the FEMA Public Assistance program or other Federal disaster grants.
5	**National Critical Infrastructure Prioritization Program (NCIPP)**	Protection of Level 1 and Level 2 facilities identified through the Department of Homeland Security's NCIPP based on a terrorism-related threat to critical infrastructure.
6	**Directed Transit Patrols**	Targeted security patrols in airports and major transit hubs based on a terrorism-related threat to transportation systems.
7	**Other Related Personnel Overtime Costs**	Overtime costs may be authorized for personnel assigned to directly support any of the security activities relating to the categories above. Examples include firefighters and emergency medical services personnel; public works employees who may be responsible for installing protective barriers and fencing; public safety personnel assigned to assist with event access and crowd control; emergency communications specialists; fusion center analysts; National Guard; contract security services; etc.
8	**Operational Support to a Federal Agency**	Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities related to homeland security/terrorism preparedness and specifically requested by a federal agency. Allowable costs are limited to overtime associated with federally requested participation in eligible 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. In addition, reimbursement for operational overtime law enforcement activities related to combating transnational crime organizations in support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism is an allowable expense under SHSP and UASI on a case by case basis. 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.

All allowable operational overtime costs are also subject to the administration requirements outlined in the following subsection.

Administration of Operational Overtime Requests

- With the exception of an elevated NTAS alert, SHSP or UASI funds may only be spent for operational overtime costs upon prior written approval by FEMA. The SAA must submit operational overtime requests in writing, to its assigned FEMA Grant Programs Directorate (GPD) Program Analyst (PA). FEMA GPD will consider requests for special event activities up to one year in advance. However such requests must be within the award's current period of performance and not result in the need for a request to extend the period of performance.

- All operational overtime requests must clearly explain how the request meets the criteria of one or more of the categories listed in the table above. Requests must address the threat environment as it relates to the event or activity requiring operational overtime support and explains how the overtime activity is responsive to the threat. Request letters sent to FEMA GPD must be UNCLASSIFIED but may be labeled "For Official Use Only." If explaining the threat will require the sharing of classified information, the letter should state as such. FEMA GPD will then make arrangements for the sharing of classified information through official channels.

- Post-event operational overtime requests will only be considered on a case-by-case basis, where it is demonstrated that exigent circumstances prevented submission of a request in advance of the event or activity.

- Under no circumstances may DHS/FEMA grant funding be used to pay for costs already supported by funding from another federal source.

- States with UASI jurisdictions can use funds retained at the state level to reimburse eligible operational overtime expenses incurred by the state (per the above guidance limitations). Any UASI funds retained by the state must be used in direct support of the Urban Area. States must provide documentation to the UAWG and DHS/FEMA upon request demonstrating how any UASI funds retained by the state would directly support the Urban Area.

- FEMA will consult and coordinate with appropriate DHS components as necessary to verify information used to support operational overtime requests. For example, the review of operational overtime requests for the protection of critical infrastructure will be coordinated with DHS Office of Cyber and Infrastructure Analysis to verify the Level I or Level II NCIPP designation. Also, DHS Office of Intelligence and Analysis will be consulted to validate reported threat information associated with the event or activity.

Equipment

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for HSGP are listed on the Authorized Equipment List (AEL). The AEL is available at http://www.fema.gov/authorized-equipment-list. Some equipment items require prior approval before the obligation or purchase of the items. Please reference the grant notes for each equipment item to ensure prior approval is not required.

Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS/FEMA-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.

Investments in emergency communications systems and equipment must meet applicable SAFECOM Guidance. Such investments must be coordinated with the SWIC and the State Interoperability Governing Body (SIGB) to ensure interoperability and long-term compatibility.

Grant funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with state, city, or local health departments that administer Federal funds from HHS for this purpose and with existing MMRS committees where available, in order to sustain their long term planning for appropriate, rapid, and local medical countermeasures, including antibiotics and antidotes for nerve agents, cyanide, and other toxins. 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, recipients submit a written inventory management plan to the UASI for approval by CalOES to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Recipients 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 each fiscal year's PoP for HSGP. The cost of disposal cannot be carried over to another DHS/FEMA grant or grant period.

EMS electronic patient care data systems should comply with the most current data standard of the National Emergency Medical Services Information System (www.NEMSIS.org).

Training

The Regional Training and Exercise Program (RTEP) 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). Training conducted using HSGP funds should address a performance gap identified through an AAR/IP or other assessments (e.g., National Emergency Communications Plan NECP Goal Assessments) and contribute to building a capability that will be evaluated through a formal exercise. Any training or training gaps, including those for children, older adults, pregnant women, and individuals with disabilities and others who also have or access and functional needs, should be identified in the AAR/IP and addressed in the state or Urban Area training cycle. Recipients are encouraged to use existing training rather than developing new courses. When developing new courses, recipients are encouraged to apply the Analysis, Design, Development, Implementation and Evaluation model of instructional design using the *Course Development Tool*.

Exercise

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 AAR/IP and/or addressed in the Bay Area training plans and cycle. Exercises conducted with grant funding should be managed and conducted consistent with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP guidance for exercise design, development, conduct, evaluation, and improvement planning is located at https://www.fema.gov/exercise.

In addition, the NOFO encourages the completion of a progressive exercise series and encourages inviting representatives/planners involved with other Federally-mandated or private exercise activities. The Bay Area UASI is further encouraged to share, at a minimum, the multiyear training and exercise schedule with those departments, agencies, and organizations included in the plan.

- *Validating Capabilities*. Exercises examine and validate capabilities-based planning across the Prevention, Protection, Mitigation, Response, and Recovery mission areas. The extensive engagement of the whole community, including ,but not limited to, examining the needs and requirements for individuals with disabilities, individuals with limited English proficiency and others with access and functional needs, is essential to the development of an effective and comprehensive exercise program. Exercises are designed to be progressive – increasing in scope and complexity and drawing upon results and outcomes from prior exercises and real-world events – to challenge participating communities. Consistent with Homeland Security Exercise and Evaluation Program guidance and tools, the National Exercise Program (NEP) serves as the principal exercise mechanism for examining national preparedness and measuring readiness. Exercises should align with priorities and capabilities identified in a multi-year TEP.

- *Special Event Planning*. If a state or Urban Area will be hosting a special event (e.g., Super Bowl, G-8 Summit), the special event planning should be considered as a training or exercise activity for the purpose of the multi-year TEP. States must include all confirmed or planned special events in the Multi-year TEP. The state or Urban Area may plan to use SHSP or UASI funding to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control.

- *Regional Exercises*. States should also anticipate participating in at least one regional exercise annually.

- *Role of Non-Governmental Entities in Exercises.* Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, design, and evaluation of an exercise. State, local, tribal, and territorial jurisdictions are encouraged to develop exercises that test the integration and use of resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, and community organizations. Participation in exercises should be coordinated with local Citizen Corps Whole Community Council(s) or their equivalents and other partner agencies.

Maintenance and Sustainment

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA Policy *FP 205-402-125-1* under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by maintenance or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty.

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 IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs which must be in 1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the Goal, and (4) shareable through the Emergency Management Assistance Compact (EMAC). Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

Law Enforcement Terrorism Prevention Allowable Costs

Activities eligible for the use of LETPA focused funds include but are not limited to:

- Maturation and enhancement of designated state and major Urban Area fusion centers, including information sharing and analysis, threat recognition, terrorist interdiction, and training/ hiring of intelligence analysts;

- Coordination between fusion centers and other analytical and investigative efforts including, but not limited to Joint Terrorism Task Forces (JTTFs), Field Intelligence Groups (FIGs), High Intensity Drug Trafficking Areas (HIDTAs), Regional Information Sharing Systems (RISS) Centers, criminal intelligence units, and real-time crime analysis centers;

- Implementation and maintenance of the Nationwide Suspicious Activity Reporting (SAR) Initiative, 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 terrorism-related crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations. Note: DHS/FEMA requires that the Office of Public Affairs be given the opportunity to review and approve any public awareness materials (e.g., videos, posters, tri-folds, etc.) developed using HSGP grant funds for the "If You See Something, Say Something™" campaign to ensure these materials are consistent with the Department's messaging and strategy for the campaign and the initiative's trademark;

- Increase physical security, through law enforcement personnel and other protective measures by implementing preventive and protective measures at critical infrastructure site or at-risk nonprofit organizations; and

- Building and sustaining preventive radiological and nuclear detection capabilities, including those developed through the Securing the Cities initiative.

Requirements for Small Unmanned Aircraft System

All requests to purchase Small Unmanned Aircraft Systems (SUAS) with FEMA grant funding must comply with IB 426 and also include a description of the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to or otherwise use the SUAS equipment.

Critical Emergency Supplies

In order to further DHS/FEMA's mission, critical emergency supplies, such as shelf stable products, water, and basic medical supplies are an allowable expense under UASI. Prior to the allocation of grant funds for stockpiling purposes, each state must have DHS/FEMA's approval of a five-year viable inventory management plan which should include a distribution strategy and related sustainment costs if planned grant expenditure is over $100,000.

If grant expenditures exceed the minimum threshold, the five-year inventory management plan will be developed by the recipient and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). FEMA 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. FEMA 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.

States (through their Emergency Management Office) are strongly encouraged to consult with their respective FEMA Regional Logistics Chief regarding disaster logistics- related issues.
States are further encouraged to share their DHS/FEMA approved plan with local jurisdictions and Tribes

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 DHS/FEMA prior to the use of any HSGP funds for construction or renovation. When applying for construction funds, recipients must submit vidence of approved zoning ordinances, architectural plans, and any other locally required planning permits. Additionally, recipients are required to submit a SF-424C Budget and Budget
detail citing the project costs.

Recipients using 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 no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the Davis-Bacon Act, including Department of Labor (DOL) wage determinations, is available from the following website https://www.dol.gov/whd/govcontracts/dbra.htm.

Communications Towers. When applying for funds to construct communication towers, recipients and sub-recipients must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD using the guidelines in EHP Supplement prior to submitting materials for EHP review. Completed EHP review materials for construction and communication tower projects must be submitted as soon as possible to get approved by the end of the PoP. EHP review materials should be sent to gpdehpinfo@fema.gov.

Personnel

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable HSGP planning, training, exercise, and equipment activities. Personnel may include but are not limited to: training and exercise coordinators, program managers for activities directly associated with SHSP and UASI funded activities, intelligence analysts, and statewide interoperability coordinators (SWIC).

In general, the use of grant funds to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. 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.

For further details, SAAs should refer to FP 207-093-1, Clarification on the Personnel Reimbursement for Intelligence Cooperation and Enhancement of Homeland Security Act of 2008 (Public Law 110–412 – the PRICE Act), or contact their FEMA HQ Program Analyst.

HSGP funds may not be used to support the hiring of any personnel to fulfil traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

The following are definitions as they relate to personnel costs:

- *Hiring*. State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable /DHSFEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-DHS/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 DHS/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 DHS/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 will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or recipients 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.

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.

Unallowable Costs

- Per FEMA policy, the purchase of weapons and weapons accessories, including ammunition, is not allowed with HSGP funds.

- Grant funds may not be used for the purchase of equipment not approved by DHS/FEMA. Grant funds must comply with IB 426 and may not be used for the purchase of the following equipment: firearms; ammunition; grenade launchers; bayonets; or weaponized aircraft, vessels, or vehicles of any kind with weapons installed.

- Unauthorized exercise-related costs include:

  - Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles), medical supplies, and emergency response apparatus (e.g., fire trucks, ambulances).

  - Equipment that is purchased for permanent installation and/or use, beyond the scope of the conclusion of the exercise (e.g., electronic messaging sign).

Emergency Management Accreditation Program

With funds provided through FY 2018 HSGP, states have the opportunity to encourage their local jurisdictions to pursue assessment and accreditation under the Emergency Management Accreditation Program (EMAP).

EMAP's assessment and accreditation of emergency management organizations against consensus-based, American National Standards Institute (ANSI)-certified standards allows for standardized benchmarking of critical functions necessary for an emergency management organization to meet the core capabilities identified in the Goal. Additional information on the EMAP Standard is available at http://www.emap.org.

National Information Exchange Model (NIEM)

DHS/FEMA requires all grant recipients to use the latest NIEM specifications and guidelines when using HSGP funds to develop, procure, or implement homeland security information exchanges, including systems and databases. This includes, but is not limited to the use of Extensible Markup

Language (XML) and Java Script Object Notation (JSON). Further information about NIEM specifications and guidelines is available at http://www.niem.gov. More information on the purpose of NIEM is located in Appendix G – FY 2018 HSGP Supplemental Material of this NOFO.

28 C.F.R. Part 23 Guidance

DHS/FEMA requires that any information technology system funded or supported by these funds comply with 28 C.F.R. Part 23, Criminal Intelligence Systems Operating Policies if this regulation is deter

APPENDIX C
Sample Application

Bay Area UASI Project Application

00000-FY20 Bay Area UASI

00038 - P25 Radio Purchase

Funding Category: East Bay Hub

Amount Requested: $47,500

Submitted

10/01/2019 9:01 AM

Status: PENDING

Project Lead

Name:*

Mr.	Joseph		Hughes
Salutation	First Name	Middle Name	Last Name

Title: Undersheriff

Email: joseph.hughes@bapsa.gov

Address: 123 Mainstreet

Suite 1

Dublin	California	94568
City	State/Province	Postal Code/Zip

Phone:*

510-555-1212	123
Phone	Ext.

Organization Information

Organization Name: Bay Area Public Safety Agency

Organization Type: County Government

Organization Website: www.bapsa.gov

Address: 578 Main st.

1st Floor

Dublin	California	
City	State/Province	Postal Code/Zip
		94568

Phone:*

510-555-1212	123
	Ext.

Fax: 510-555-1213

E-mail Address bapsa@countygov.org

Funding Categories

All Bay Area UASI projects must benefit two or more Operational Areas (counties).

Core City Projects: Only agencies affiliated with the cities of Oakland, San Francisco, and San Jose are eligible to apply for and receive core city funding.

Hub Projects

North Bay Hub: Marin, Napa, Solano, Sonoma

East Bay Hub: Alameda, Contra Costa

South Bay Hub: Monterey, San Benito, Santa Clara, Santa Cruz

West Bay Hub: San Francisco, San Mateo

Regional Projects: All regional projects must benefit three or more hubs in a equitable manner.

Please select the appropriate funding category for your project: East Bay Hub

Please describe how your project will benefit more than two operational areas (counties)?

500 Characters Maximum

This cache of radios will be utilized during mutual aid response with Contra Costa and Alameda counties.

Department Head Approval

Have you received department head approval to submit this application?   Yes

Name   John   Smith

     FIRST   LAST

Title   Sheriff

Agency   Local County Sheriff's Office

Email   sheriff@bayareacounty.org

Phone   555-111-2222

Project Description

Select an Investment Justification:

Goal 4: Strengthen Emergency Communications Capabilities

Select the most applicable FEMA Core Capability for your project:

Operational Communications

Select the most applicable Capability Target:

Establish & maintain interoperable communications with partner organizations involved in incident management.

Select a nexus to terrorism: This project will enhance regional capacity to:

Respond to Terrorist Attacks

Describe the nexus to terrorism in detail:

This cache of inter-operable radios will allow us to communicate effectively during a mutual aid terrorist incident.

Project Summary- Provide a brief description of your project:

We would like to purchase a cache of P25 Interoperable Radios for response operations during a major terrorist incident that requires mutual aid.

Project Timeline

Total Project Time

Months 12

Project Dates

01/01/2021	12/31/2021
Project Start Date	Project End Date

Milestones

Milestones Minimum 5	Estimated Completion Date
(EQUIPMENT)btain Quotes	01/13/2021
(EQUIPMENT) Issuance Of PO	02/01/2021
(EQUIPMENT) Receive Equipment	09/15/2021
(EQUIPMENT) Test Equipment	10/15/2021
(EQUIPMENT) Project Completion	12/31/2021

Compliance Requirements

State Sole Source Approval: NO

Aviation Request Form: NO

Watercraft Request Form: NO

Aviation Request Form: NO

Performance Bond: NO

SAMPLE APPLICATION

Project Budget POETE

Category: Fill In amounts in any applicable category:

Planning:	$0.00
Organization:	$0.00
Equipment:	$47,500
Training:	$0.00
Exercises:	$0.00

Equipment Details

Select a category of FEMA Authorized Equipment	Select the appropriate AEL #	Quantity	Price Each
Interoperable Communications Equipment	06CP-01- PORT Radio, Portable	10	$4,750.00

Equipment Totals: **$47,500.00**

Total Amount Requested: **$47,500**