



**Project Proposal Guidance  
for Fiscal Year 2020**

Approved by the Approval Authority on XXXXXX

# Table of Contents

<b>1. UASI GRANT PROGRAM OVERVIEW</b>	<b>2</b>
<b>2. GRANT PLANNING EFFORTS</b>	<b>2</b>
<b>3. PROPOSAL CRITERIA</b>	<b>2</b>
<b>4. CORE CITY FUNDING</b>	<b>3</b>
<b>5. POTENTIAL HUB FUNDING AMOUNTS</b>	<b>3</b>
<b>6. SUSTAINMENT PROJECTS</b>	<b>3</b>
<b>7. REGIONAL PROJECTS</b>	<b>4</b>
<b>8. DEVELOPING AND SUBMITTING PROPOSALS</b>	<b>4</b>
<b>9. ROLE OF THE WORK GROUPS</b>	<b>6</b>
<b>10. PROPOSAL REVIEW PROCESS</b>	<b>7</b>
<b>11. ROLE OF THE HUB VOTING MEMBERS</b>	<b>8</b>
<b>12. ROLE OF THE APPROVAL AUTHORITY</b>	<b>10</b>
<b>13. SUMMARY TIMELINE</b>	<b>12</b>

**APPENDIX A – GUIDANCE FOR PREPARING HOMELAND SECURITY GRANT APPLICATIONS**

**APPENDIX B – SAMPLE GRANT APPLICATION**

**APPENDIX C – LIST OF ALLOWABLE COSTS**

**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](http://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](http://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:

<b>Investment</b>	<b>Bay Area UASI Work Group</b>	<b>Bay Area UASI Goal</b>	<b>State Homeland Security Goal</b>
1	Intelligence <b>NCRIC Project Only</b>	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

<b>Investment</b>	<b>Bay Area UASI Work Group</b>	<b>Bay Area UASI Goal</b>	<b>State Homeland Security Goal</b>
7	Emergency Management	Enhance Community Resilience	Enhance Community Resilience
8	Public Safety Information Sharing <b>ALL NON-NCRIC projects</b>	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 <b>ONLY</b> , 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](mailto: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.

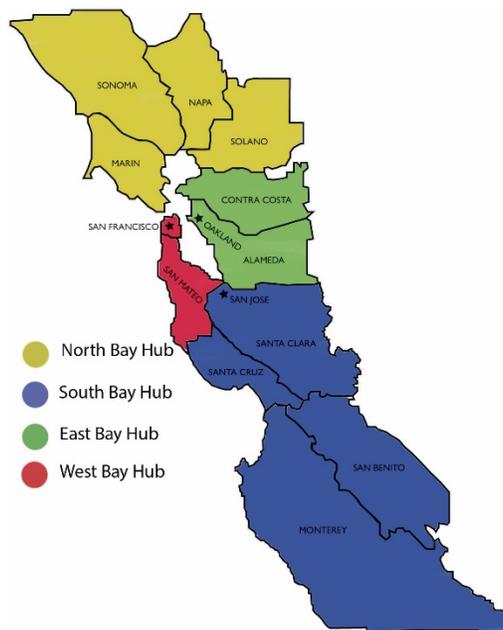
Please note: If additional funds become available for any reason, the Management Team will utilize the currently approved prioritized list to appropriate funding to “below the line” projects.

***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](http://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