<table>
<thead>
<tr>
<th>Time</th>
<th>Session Title</th>
<th>Presenter</th>
</tr>
</thead>
<tbody>
<tr>
<td>9:00 – 9:30 AM</td>
<td>REGISTRATION</td>
<td></td>
</tr>
<tr>
<td>9:30 – 9:40 AM</td>
<td>Welcome and Introductions</td>
<td>Tristan Levardo</td>
</tr>
<tr>
<td>9:40 – 10:15 AM</td>
<td>Project Management</td>
<td>Janell Myhre/Project Managers</td>
</tr>
<tr>
<td></td>
<td>a. Bay Area UASI overview</td>
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<td></td>
<td>b. Project Managers</td>
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<td></td>
<td>c. Project Development</td>
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<td>d. Project Monitoring</td>
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<td>e. Change Management</td>
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<tr>
<td>10:15 – 10:35 AM</td>
<td>Sub-recipient MOUs and Contracts</td>
<td>Mikyung Kim-Molina</td>
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<tr>
<td></td>
<td>a. Boilerplate</td>
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<td></td>
<td>b. Appendix A</td>
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<td></td>
<td>c. Appendix B</td>
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<td>d. Appendix C</td>
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<td>e. Approval Cycle</td>
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<td>f. Amendment Process</td>
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<td></td>
<td>g. Procurement/Professional Services Contracts</td>
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<tr>
<td>10:35 – 10:45 AM</td>
<td>Financial Management Workbook and Reimbursement Requests</td>
<td>Maw Maw Thein Tun</td>
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<tr>
<td></td>
<td>a. Planning - Personnel &amp; Contractors</td>
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<td>b. Equipment</td>
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<td>c. Organization</td>
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<td>d. Training &amp; Exercise</td>
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<td></td>
<td>e. Reimbursement requests</td>
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<tr>
<td>10:45 – 11:00 AM</td>
<td>BREAK</td>
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<tr>
<td>11:00 – 11:30 AM</td>
<td>Compliance requirements</td>
<td>Mary Landers</td>
</tr>
<tr>
<td></td>
<td>a. Policies and procedures</td>
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<td></td>
<td>b. Required forms- Environmental &amp; Historic Preservation (EHP), Sole Source, Aircraft/Watercraft</td>
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<td></td>
<td>c. Sole Source Procurement- Cost Benefit Analysis</td>
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<td>d. Performance Bonds</td>
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<td>e. Travel</td>
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<td>f. Match</td>
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<td>g. Extensions</td>
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<td></td>
<td>h. Fraud policy</td>
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</tr>
<tr>
<td>Time</td>
<td>Session Title</td>
<td>Presenter</td>
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<tr>
<td>11:30 – 11:45 AM</td>
<td>Ensuring Grant Compliance through Monitoring</td>
<td>Tristan Levardo</td>
</tr>
<tr>
<td></td>
<td>a. Fiscal Roles and Responsibilities</td>
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<td>b. On-site Financial Monitoring Review</td>
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<td>c. Top Monitoring Issues</td>
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<td></td>
<td>d. OMB Circulars</td>
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<tr>
<td>11:45 – 12:00 PM</td>
<td>QUESTIONS AND WRAP UP</td>
<td></td>
</tr>
</tbody>
</table>
2013
Grants Management Workshop
June 2013
WELCOME AND INTRODUCTIONS

Successful Grants Management

Financial Management

Project Management

Compliance
SUCCESSFUL GRANTS MANAGEMENT

- Proper project authorization and execution
- Adequate documentation
- Approval requirements
- Timely reporting

Audit, Accountability & Transparency
OBJECTIVES

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

Learn management tools to monitor projects

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

- Proposal
- Application
- Award
- Project Management
- Financial Management
- Monitoring and Audits
- Closeout
PROJECT MANAGEMENT

• Bay Area UASI/DHS Goals
• Project Managers
• Project Development
• Project Monitoring
• Change Management
The Bay Area’s homeland security goals are directly aligned with National Homeland Security Priorities (and/or California Homeland Security Strategy Priorities):

1. Develop a Regional Risk Management and Planning Program
2. Enhance Information Analysis and Infrastructure Protection Capabilities;
3. Strengthen Communications and Interoperable Communications;
4. Strengthen CBRNE Detection, Response, and Decontamination Capabilities;
5. Enhance Medical, Public Health and Mass Care Preparedness;
6. Strengthen Planning and Citizen Preparedness Capabilities;
7. Enhance Recovery Capabilities; and
## UASI Grant Roles and Responsibilities
### Project Management R&R

<table>
<thead>
<tr>
<th>Steps in Project Cycle</th>
<th>Approval</th>
<th>Authority</th>
<th>Management Team</th>
<th>Stakeholders</th>
<th>Sub-recipient Project Lead</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk and Capability Assessment</td>
<td>--</td>
<td>Coordinate</td>
<td>Inform</td>
<td></td>
<td>--</td>
</tr>
<tr>
<td>Homeland Security Strategy</td>
<td>Approve</td>
<td>Implement</td>
<td>Inform</td>
<td></td>
<td>--</td>
</tr>
<tr>
<td>Proposal Guidance</td>
<td>Approve</td>
<td>Implement</td>
<td>Inform</td>
<td></td>
<td>--</td>
</tr>
<tr>
<td>Proposals</td>
<td>--</td>
<td>Coordinate</td>
<td>Implement - hubs</td>
<td></td>
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</tr>
<tr>
<td>Prioritizing</td>
<td>Approve</td>
<td>Coordinate</td>
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<tr>
<td>Project Approval</td>
<td>Approve</td>
<td>Coordinate</td>
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<tr>
<td>Investment Justifications</td>
<td>--</td>
<td>Implement</td>
<td>--</td>
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</tr>
<tr>
<td>Grant Application</td>
<td>Approve</td>
<td>Implement</td>
<td>--</td>
<td></td>
<td>--</td>
</tr>
<tr>
<td>MOU</td>
<td>--</td>
<td>Implement</td>
<td>Inform</td>
<td></td>
<td>--</td>
</tr>
<tr>
<td>Solicitations and Contracts</td>
<td>Over $500K notified</td>
<td>Approve</td>
<td>--</td>
<td>Implement</td>
<td></td>
</tr>
<tr>
<td>Reporting</td>
<td>Notified</td>
<td>Implement</td>
<td>Inform - workgroup</td>
<td>Inform</td>
<td></td>
</tr>
<tr>
<td>Timeline Change</td>
<td>Notified (over $250K and six months)</td>
<td>Approve</td>
<td>--</td>
<td>Inform</td>
<td></td>
</tr>
<tr>
<td>Budget Change</td>
<td>Approve (over $250K)/notified</td>
<td>Approve</td>
<td>--</td>
<td>Inform</td>
<td></td>
</tr>
<tr>
<td>Monitoring</td>
<td>--</td>
<td>Implement</td>
<td>--</td>
<td>Inform</td>
<td></td>
</tr>
<tr>
<td>Close Out</td>
<td>--</td>
<td>Approve</td>
<td>--</td>
<td>Implement</td>
<td></td>
</tr>
<tr>
<td>Evaluation</td>
<td>Notified</td>
<td>Implement</td>
<td>Inform</td>
<td>Inform</td>
<td></td>
</tr>
</tbody>
</table>

*This is a simplified overview of a document in development for the updated UASI Grants Policy and Procedures Manual.*
Stakeholders implement risk and capabilities assessment

Stakeholders propose projects and hubs prioritize them

Advisory Group makes project approval recommendations to AA

Changes in timeline, scope and budget approved by MT/AA

Project Teams develop future work with lessons learned

Close Out

Identification: Risk Assessment

Identification: Proposals

Identification: Project Approval

Execution: Change Management

Execution: Change Management

Execution

Planning

Project Lead executes with support from MT and WG

Project Lead develops agreements and contracts

PROJECT CYCLE
# FY2014 UASI PROJECT PROPOSAL FORM

## 1. BACKGROUND INFORMATION

<table>
<thead>
<tr>
<th>Agency:</th>
<th>Project Name:</th>
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</thead>
</table>

<table>
<thead>
<tr>
<th>Total Project Cost:</th>
<th>Annual Sustainment Costs:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Allocation Requested:</th>
<th>Minimum Allocation Request:</th>
</tr>
</thead>
</table>

## Contact Information:

**Person Submitting Proposal:**

<table>
<thead>
<tr>
<th>Name:</th>
<th>Title:</th>
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</table>

<table>
<thead>
<tr>
<th>Business Phone:</th>
<th>E-mail:</th>
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</table>

**Project Lead Contact Information:**

<table>
<thead>
<tr>
<th>Name:</th>
<th>Title:</th>
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</thead>
</table>

<table>
<thead>
<tr>
<th>Business Phone:</th>
<th>E-mail:</th>
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<tr>
<th>Cell:</th>
<th>Fax:</th>
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</thead>
</table>

**Department Head Contact Information:**

<table>
<thead>
<tr>
<th>Name:</th>
<th>Title:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Phone:</th>
<th>E-mail:</th>
</tr>
</thead>
</table>

**Department Head Approval:**

- Yes
- No

**Mission Areas:** Select all that correspond to the mission area of your project

- Prevent
- Protect
- Respond
- Recover
- Mitigation
PROJECT PROPOSAL TEMPLATE

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

Planning:
Organization:
Equipment:
Training:
Exercises:
Total Project Costs:
LETPA Amount:

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

Organization

Equipment List the equipment by AEL# and amount. Itemize Taxes, Shipping and Installation. Confirm the Authorized Equipment List (AEL) number from the https://www.tkb.us/mln/efm/Subyposd-1040 website and select the AEL# using the dropdown lists that follow:

AEL # Amount
AEL # Amount
AEL # Amount
AEL # Amount
21GN-00-STAX Sales Tax
21GN-00-SHIP Shipping
21GN-00-INST Installation

Training

Exercise

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

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

Key concerns of the Project Managers are:

• The status of execution of the project (Is the project on time and on budget? Have the items been ordered? Are there any issues in the procurement process?)

• The status of reimbursement requests (Have they been submitted?)

• Have grant requirements been met? (EHPs, performance bonds, job descriptions, etc.)
Project Change Request Form:

– Project Timeline Change
– Project Scope Change
– Project Budget Change
  • Funding Reallocations
  • Hub “next in line”
  • Regional procurement
Bay Area UASI Project Change Request Form

Instructions:
Answer all questions or note that it is not applicable.
The TAB button will advance or back up (Shift+Tab) to the next field.
The ENTER button will enter a check mark into multiple choice boxes.
Fields where currency is entered only need the numbers, the $ and commas are entered for you.
Some fields are limited in the number of characters. Additional pages may be submitted.
Contact your Bay Area UASI Project Manager with questions.

1. Date Submitted: dd/mm/yyyy
2. Check all that apply:
   - Time Line Extension Request
   - Budget Change Request
   - Scope Change Request
3. Funding Type
   - Core City
   - Hub
   - Off the Top

4. Agency:
5. City or County:

6. Name and Title
7. Phone # and E-mail:

8. Funding Source:
9. Project Name

10. Current Budget:
11. New Budget:
12. Amount for Re-Allocation:

13. Current Project Deadline: dd/mm/yyyy
14. Requested Project Deadline: dd/mm/yyyy

Bay Area UASI Project Change Request Form, June 2013 version
15. Briefly explain the goals and deliverables of the project.

16. What is the nature of the requested change(s)? (State new budget amount, explain scope change, and/or new project completion date.)

17. Why is change needed? (e.g., Why is the project late, original budget estimates inaccurate, and/or original scope of work no longer appropriate?) If the requested changes are a result of planning or implementation errors, please explain how you have analyzed processes and learned lessons to avoid such errors in the future.

18. Do all the project stakeholders agree to the requested change(s)? Explain the relevant stakeholders and state the process by which they have been informed and have agreed to the requested change(s).
19. For equipment projects, please answer the following, as appropriate:

a. What is the time required for an RFP or sole source justification?

b. Equipment list, including AEL numbers and quantity/amount per AEL.

c. Anticipated equipment delivery dates.

d. Anticipated installation completion dates.

e. Is an EHP required?
   - Yes
   - No
   - If yes, has it been obtained?
     - Yes
     - No

f. Is a Performance Bond required?
   - Yes
   - No

   If yes, has it been obtained?
     - Yes
     - No


g. For EOC Projects, has CalEMA approval been obtained?
   - Yes
   - No

h. For watercraft/aircraft projects has CalEMA approval been obtained?
   - Yes
   - No
20. Additional Information:


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

Reviewed by: 

Date: ddmmyyyy

Approved: 

Comments:

☐ Yes

☐ No

The Bay Area UASI Project Change Request Review Process:

1. Sub-recipients Project Lead completes the Bay Area UASI Project Change Request Form and submits it to the assigned Bay Area UASI Project Manager (Note: The Sub-recipient Project Lead is the person who has key responsibility for implementation of the project).

2. Project Manager reviews the form for completeness.

3. Project Manager forwards the form to the Bay Area UASI Assistant General Manager via E-mail.

4. The Assistant General Manager reviews the form for approval and responds to the Project Manager via E-mail.

5. The Assistant General Manager distributes the form to the Chief Financial Officer and the General Manager, flagging the issue for Approval Authority approval, if necessary.

6. The Project Manager informs the Sub-recipient of approval or need for additional action/information.

The Management Team will respond to the requesting jurisdiction’s project change request as soon as possible and within a time-frame of two weeks.

Upon approval of the change request:

7. The Project Manager retains approved request form with other project documentation.

8. For time-line changes, the Bay Area UASI Grants Unit completes the CalEMA Performance Period Extension Request Form and sends it to the state for approval.

9. The Grants Unit makes updates to the Financial Workbook and processes changes to MOUs, if necessary.
WHAT IS AN MOU?

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

- **BOILERPLATE** – CCSF Requirements
- **APPENDIX A** – Authorized Expenditures and Timelines
- **APPENDIX B** – Grant Assurances
- **APPENDIX C** – Reimbursement Request
- Outlines MOU requirements and obligations for entering into an agreement with CCSF
- Section 3.1, Duration of Term
- Section 3.2 Maximum Amount of Funds
• Outlines funded projects by letter, title, solution area, program description, milestones, deliverable date, amount, and reimbursement date

• Outlines requirements for reimbursement
APPENDIX B

- Outlines state and federal compliance requirements and obligations under the grant
- Affirmation to comply with Civil Rights Laws, Drug Free Workplace, Human Trafficking Act, CEQA, Lobbying Restrictions, ADA, etc.
• Submit Reimbursement Request on or before the deadline specified in the Appendix A
• Submit cover page along with all the information required in Schedule 1
• Schedule 1 requires: invoices, canceled checks, payroll registers, purchase orders and contracts.

Appendix C – Form of Reimbursement Request

REIMBURSEMENT REQUEST

_______, 2013

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

Re: FY 12 UASI Grant Reimbursement Request

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

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Amount Reimbursement Requested in this Request</td>
<td>$ _______</td>
</tr>
<tr>
<td>Maximum Amount of Funds Specified in Section 3.2 of the Agreement</td>
<td>$ _______</td>
</tr>
<tr>
<td>Total of All Funds Disbursed Prior to this Request</td>
<td>$ _______</td>
</tr>
</tbody>
</table>

GOLDEN GATE certifies that:

(a) The total amount of funds requested pursuant to this Funding Request will be used to reimburse GOLDEN GATE for Authorized Expenditures, which expenditures are set forth on the attached Schedule 1, to which are attached true and correct copies of all required documentation of such expenditures.

(b) After giving effect to the disbursement requested pursuant to this Reimbursement Request, the Funds disbursed as of the date of this disbursement will not exceed the maximum amount set forth in Section 3.2 of the Agreement, or the not to exceed amounts specified in Appendix A for specific projects and programs.

FY 12 UASI – GOLDEN GATE C-1

December 1, 2012
MOU APPROVAL PROCESS

TOTAL PROCESS TIME: ≈90 DAYS

MOU MODIFICATIONS 5 DAYS

DRAFT MOU 5 DAYS

UASI PM REVIEWS 3 DAYS

MAIL FULLY EXECUTED MOU TO SUBRECIPIENT 5 DAYS

SF CITY ATTORNEY REVIEWS 5 DAYS

SEND TO SF DEM ED FOR SIGNATURE 5 DAYS

SEND TO SF CITY ATTORNEY FOR SIGNATURE 60+ DAYS

SEND TO SUBRECIPIENT FOR SIGNATURE 5 DAYS
MODIFICATION NOTICE

CRITERIA

• When an extension of the Deliverable Date does not exceed the MOU term as set forth in Section 3.1

• When a revision in project budget amounts amongst existing projects does not impact the amount of funds set forth in Section 3.2
WHO SHOULD BE FAMILIAR WITH THE MOU?

• EXECUTIVE DIRECTOR
• FISCAL STAFF
• PROJECT LEADS
HELPFUL TIPS IN MOU PROCESSING

- Calendar as soon as possible for Board or Council
- Print out 3 copies for signatures
- Grant Assurances must be initialed
- Last page of the Grant Assurances must be signed
Procurement includes hiring, purchasing of supplies, and soliciting for professional services.

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

- Solicitation Phase
- Selection Phase
- Negotiations and Contracting Phase
SOLICITATION PHASE

Engage in a full and open competitive bidding process

Obtain State sole source approval, and local approval if necessary
### SELECTION PHASE

<p>| | |</p>
<table>
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<tbody>
<tr>
<td><strong>Include a selection panel that is comprised of subject matter experts</strong></td>
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<tr>
<td><strong>Make a selection based on criteria that is published in the RFP/Q</strong></td>
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</tr>
<tr>
<td><strong>Observe confidentiality</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Include signed impartiality/conflict of interest statements for selection panel members</strong></td>
<td></td>
</tr>
</tbody>
</table>
NEGOTIATION/CONTRACT PHASE

1. Contain costs that are reasonable and consistent
2. Include a clearly written scope of services
3. Be performed and paid in entirely within the grant performance period
FINANCIAL MANAGEMENT WORKBOOK

- Planning
- Training
- Organization
- Exercise
- Equipment
- Reimbursement Requests
FINANCIAL MANAGEMENT WORKBOOK

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

Organization
- Detail of expenditure
  - Staffing
  - Overtime
  - Backfill

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

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

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

Planning

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

Organization

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

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

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

**Exercise**
- Invoice
- Canceled checks
- After Action Report
- Applicable approvals
HELPFUL TIPS

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

Perform a review prior to sending the documentation out.

Don't forget to sign your reimbursement request.

Check your math.

Perform reconciliation of your accounts (receipts vs claim vs expenditures vs budget).
NEW REQUIRED DATA

Consultant-Contractor
- Fee for deliverables
- Billable hours
- Billable charges

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

New Financial Workbook items for FY12 UASI
BREAK

time for a break
• Policies and procedures
• Required forms:
  – Environmental & Historic Preservation (EHP)
  – Sole Source
  – Aircraft/Watercraft
  – Emergency Operation Center (EOC)
• Sole Source Procurement- Cost Benefit Analysis
• Performance Bonds
• Travel
• Match
• Extensions
• Fraud policy
Develop Written Policies and Procedures (including a Fraud Policy)

Follow local policies unless they conflict with Federal Regulations
REQUIRED FORMS- EHPs

Equipment EHPs- Check RKB Website

Green Box | Possible EHP

Is Equipment Portable?

If Yes- NO EHP required | If No- EHP IS required

Training EHPs- Classroom or Field Based

Classroom based- NO | Field based- YES
EHP SUBMISSION

Receive state approval first!
Work with your PM
Brief, clear project description
Include quantities of items
Physical location of training
Provide aerial and ground level photos
AIRCRAFT AND WATERCRAFT FORMS

Buying an aircraft or something that attaches to an aircraft?

• There’s a CalEMA form for that.

Buying a watercraft or something that attaches to a watercraft?

• There’s a CalEMA form for that, too.
AIRCRAFT/WATERCRAFT PREPARATION

- Receive state approval first!
- Work with your PM
- A clear justification of your need
- Describe how equipment will be used
- Identify UASI Goals/Objectives
- How will watercraft be used
- Provide certification on agency letterhead
EOC REQUEST FORMS

- Receive state approval first!
- Work with your PM
- Describe how EOC improves your organization
- Identify other sources of funding
- Provide equipment list/costs
- Explain “other” items
- Are costs reasonable?
SOLE SOURCE PROCUREMENT

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

Receive state approval first!

Work with your PM

Brief, clear project description

Include vendor contact info

Provide agency regulation for sole sources

Prepare a Cost Benefit Analysis
This is about the **financial** benefit to your agency

Analysis should provide specific financial information

Do not spend time describing the safety benefits to staff

Personnel examples include: staffing requirements

Training examples include: interoperability of equipment

Equipment examples include: multiple purchases to obtain the same goals
PERFORMANCE BONDS

Required for:
- All purchases over $250K, or any vehicles, aircraft or watercraft

Acts as:
- Insurance policy for jurisdiction

 Allows you to:
- Meet UASI performance period deadline with delivery by end of CalEMA’s performance period

How much:
- Typically about 1% of the purchase price
GENERAL TRAVEL POLICIES

Follow your travel policy- do not conflict with federal guidelines

Consult with Project Leads- they will assist you

Provide adequate written justification and documentation

Must be within the intent of the overall travel policy
<table>
<thead>
<tr>
<th>Travel to non-continental destinations</th>
<th>Written Request/Approval</th>
<th>UASI Approval Authority / UASI GM/ Cal EMA/DHS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Travel for National Associations/ Board/ Committees</td>
<td>Written Request/Approval</td>
<td>UASI Approval Authority</td>
</tr>
<tr>
<td>All BA UASI Travel</td>
<td>Written Request/Approval</td>
<td>Direct Supervisor/ UASI GM</td>
</tr>
</tbody>
</table>
INTERNATIONAL TRAVEL AUTHORIZATIONS

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

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

Budget
- Airfare/Lodging/Per Diem

Benefits of travel
- To subrecipient
- To UASI
MATCH

- Allocable and allowable cost under the appropriate costs principles and program eligibility requirements.
- Provide direct support for the program or project for which funds were awarded.
- Made within the performance period of the award.
- Supported by source documentation.
- Not included as a cost or used to meet cost share or match requirements for another federal award unless authorized by statute.
- Consistently treated by the recipient.
EXTENSION REQUESTS

Granted only on a case by case basis!

Complete and submit an Extension Request form
EXTENSION REQUEST FORM

Project Details and Status

How will you meet the new deadline

How will you improve to avoid future delays

 Guarantee the requested deadline will be met

List, describe, cost breakdown and AEL #s
FRAUD POLICY

All jurisdictions should have a fraud policy

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

Report suspicions to UASI CFO

Reports will be investigated in conjunction with local and state agencies

Debarment
Termination
Legal Recourse
COMPLIANCE THROUGH MONITORING

Grants Management Unit - Fiscal Roles and Responsibilities

On-site Financial Monitoring Review

Top Monitoring Issues

OMB Circulars
GRANTS MANAGEMENT UNIT - RESPONSIBILITIES

Grant Administration
Procurement
Accounting
Subrecipient Partnerships
FISCAL ROLES & RESPONSIBILITIES

- Reviewing Financial Operations and Systems
- Recording Financial Activities
- Adhering to Audit Requirements
- Accounting for Non-federal Contributions
- Reviewing Federally-Debarred/Suspended Organizations
- Reporting Irregularities
- Monitoring Subrecipients
ON-SITE FINANCIAL MONITORING REVIEW

1. Pre-visit Notification Letter
2. Field Documents
3. Entrance Conference
4. Monitoring Report
5. Exit Conference
6. Documentation Review and Data Analysis
7. Corrective Action Plan
TOP MONITORING ISSUES

- Proof of payment
- Competitive bidding
- Sole source approval
- EHP approval
- Functional timesheets
- Final work product
- Equipment listing
Maintenance Contracts and Warranty (including licenses and fees) per FEMA IB #336 and 379

- Coverage may exceed the grant performance period

Purchased incidental to the original purchase of the system/equipment

- Coverage may NOT exceed the grant performance period

Stand-alone or extension of existing maintenance
<table>
<thead>
<tr>
<th>Grantee Type</th>
<th>Administrative Requirements</th>
<th>Costs Principles</th>
<th>Single Audit Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>State, local, or Indian Tribal government</td>
<td>44 CFR Part 13 (A-102)</td>
<td>2 CFR Part 225 (A-87)</td>
<td>A-133</td>
</tr>
<tr>
<td>Non-profits</td>
<td>2 CFR Part 215 (A-122)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commercial Organizations</td>
<td>48 CFR Part 31</td>
<td></td>
<td>N/A</td>
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THANK YOU FOR PARTICIPATING!

BAY AREA UASI