

File No. 200608

Committee Item No. 6

Board Item No. _____

COMMITTEE/BOARD OF SUPERVISORS

AGENDA PACKET CONTENTS LIST

Committee: Budget & Finance Committee

Date July 15, 2020

Board of Supervisors Meeting

Date _____

Cmte Board

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| <input type="checkbox"/> | <input type="checkbox"/> | Motion |
| <input type="checkbox"/> | <input type="checkbox"/> | Resolution |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Ordinance |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Legislative Digest |
| <input type="checkbox"/> | <input type="checkbox"/> | Budget and Legislative Analyst Report |
| <input type="checkbox"/> | <input type="checkbox"/> | Youth Commission Report |
| <input type="checkbox"/> | <input type="checkbox"/> | Introduction Form |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Department/Agency Cover Letter and/or Report |
| <input type="checkbox"/> | <input type="checkbox"/> | MOU |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Grant Information Form |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Grant Budget Report |
| <input type="checkbox"/> | <input type="checkbox"/> | Subcontract Budget |
| <input type="checkbox"/> | <input type="checkbox"/> | Contract/Agreement |
| <input type="checkbox"/> | <input type="checkbox"/> | Form 126 – Ethics Commission |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Award Letter |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Grant Application |
| <input type="checkbox"/> | <input type="checkbox"/> | Public Correspondence |

OTHER (Use back side if additional space is needed)

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| <input checked="" type="checkbox"/> | <input type="checkbox"/> | <u>Budget Narrative and Justification</u> |
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Completed by: Linda Wong

Date July 10, 2020

Completed by: Linda Wong

Date _____

1 [Accept and Expend Grant and Amend the Annual Salary Ordinance - Retroactive -
2 Securing the Cities Program Grant - United States Homeland Security - \$2,000,000]

3 **Ordinance retroactively authorizing the Department of Emergency Management, as a**
4 **fiscal agent for the Bay Area Urban Areas Security Initiative, to accept and expend a**
5 **grant in the amount of \$2,000,000 from the United States Department of Homeland**
6 **Security for the Securing the Cities Grant Program for the period of March 4, 2020,**
7 **through October 30, 2020; and amending Ordinance No. 170-19 (Annual Salary**
8 **Ordinance, File No. 190620 for FYs 2019-2020 and 2020-2021) to provide for the**
9 **addition of four grant-funded positions, one each in Class 0932 Manager IV (FTE 1.0),**
10 **Class 0931 Manager III (FTE 1.0), Class 1823 Senior Administrative Analyst (FTE 1.0),**
11 **and Class 8601 Emergency Services Coordinator I (FTE 1.0).**

12 NOTE: **Unchanged Code text and uncodified text** are in plain Arial font.
13 **Additions to Codes** are in *single-underline italics Times New Roman font*.
14 **Deletions to Codes** are in *strikethrough italics Times New Roman font*.
15 **Board amendment additions** are in double-underlined Arial font.
16 **Board amendment deletions** are in ~~strikethrough Arial font~~.
17 **Asterisks (* * * *)** indicate the omission of unchanged Code
18 subsections or parts of tables.

19 Be it ordained by the People of the City and County of San Francisco:

20 **Section 1. Findings**

- 21 (a) The Fiscal Year (FY) 2019 Securing the Cities (STC) Program, as
22 appropriated by the *Department of Homeland Security Appropriations Act,*
23 *2019* (Pub. L. No. 116-6), provides resources to reduce the risk of a
24 successful deployment of a weapon of mass destruction or the movement of
25 materials into major metropolitan areas and regions of the nation.

- 1 (b) In 2019, the STC program issued a Notice of Funding Opportunity (NOFO)
2 seeking applications from six (6) eligible regions in the United States to
3 partner with DHS for an overall program period of performance of up to ten
4 years.
- 5 (c) The City and County of San Francisco, as fiscal agent and representative of
6 the Bay Area UASI, was named as one of those six eligible partners.
- 7 (d) Since one of the primary goals of the STC grant program is to achieve a
8 unified and in depth approach in defense of large geographic regions, San
9 Francisco's application was on behalf of the Bay Area UASI for the newly
10 defined Northern California STC region.
- 11 (e) In addition to the 12 counties of the Bay Area UASI, the area of
12 implementation in the Northern California STC region is defined as all
13 California counties from the Oregon border on the north to Monterey, Kings,
14 Tulare, and Inyo Counties on the south, from the Pacific Ocean on the west
15 to the Nevada border on the east. It also included Washoe County in
16 Nevada (collectively, the "partner jurisdictions").
- 17 (f) The Department of Emergency Management, representing the partner
18 jurisdictions, applied for and received a total grant award of \$2,000,000.
- 19 (g) The grant award period is from March 4, 2020 to October 30, 2020 and
20 therefore approval of this legislation is requested on a retroactive basis.
- 21 (h) Under the grant award, and with the agreement of all partner jurisdictions,
22 San Francisco is designated as the fiscal agent for receipt and expenditure
23 of the grant funds.
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1 **Section 2. Authorization to Accept and Expend Grant Funds**

2 (a) The Board of Supervisors hereby authorizes the Department of Emergency
3 Management (DEM) to retroactively accept and expend, as fiscal agent on behalf of the Bay
4 Area UASI and all partner jurisdictions, STC grant funds in the amount of \$2,000,000 to
5 develop a radiological/nuclear detection program within the Northern California STC region.

6 (b) The Board of Supervisors hereby authorizes the Department of Emergency
7 Management to maximize use of available grant funds on program expenditures by not
8 including indirect costs in the grant budget, and waiving indirect costs.

9 (c) The Board of Supervisors hereby authorizes the DEM Executive Director, or
10 the Executive Director’s designee, to enter into a Memorandum of Understanding with the
11 partner jurisdictions on behalf of the City and County of San Francisco, to govern
12 acceptance, allocation, distribution and any other actions related to the STC grant. The
13 Board of Supervisors further authorizes the DEM Executive Director, or the Executive
14 Director’s designee, to furnish whatever additional information or assurances DHS may
15 request in connection with the STC grant, to execute any and all agreements or other
16 documents, and to take any other steps necessary to accept, distribute and expend the
17 grant funds.

18
19 **Section 3. Grant funded positions; Amendment to Fiscal Years 2019-2020 and**
20 **2020-2021 Annual Salary Ordinance.**

21 The hereinafter designated sections and items of Ordinance No. 170-19 (Annual
22 Salary Ordinance File No. 190620 for FYs 2019-2020 and 2020-2021) are hereby amended
23 to add four (4) positions to the Department of Emergency Management as follows:
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1 Department: DEM (077) Department of Emergency Management
 2 Program: Securing the Cities Program
 3 Fund: 13560
 4 Project ID: 10035819
 5

Amendment	No. of Positions	Class	Compensation Schedule	Department
Add in FY 19-20	1 FTE	0932 Manager IV	\$6,547 Biweekly	DEM
Add in FY 19-20	1 FTE	0931 Manager III	\$6,098 Biweekly	DEM
Add in FY 19-20	1 FTE	1823 Senior Administrative Analyst	\$4,540 Biweekly	DEM
Add in FY 19-20	1 FTE	8601 Emergency Services Coordinator	\$3,308 Biweekly	DEM

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1 APPROVED AS TO FORM:

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By: /s/_____

JANA CLARK
Deputy City Attorney

APPROVED AS TO CLASSIFICATION
DEPARTMENT OF HUMAN RESOURCES

By: /s/_____

MICKI CALLAHAN
Human Resources Director

APPROVED: /s/_____

MAYOR'S OFFICE

APPROVED: /s/_____

BEN ROSENFELD
Controller

RECOMMENDED:

/s/_____

MARY ELLEN CARROLL
Executive Director
Department of Emergency Management

LEGISLATIVE DIGEST

[Accept and Expend Grant and Amend the Annual Salary Ordinance - Retroactive - Securing the Cities Program Grant - United States Homeland Security - \$2,000,000.]

Ordinance retroactively authorizing the Department of Emergency Management, as a fiscal agent for the Bay Area Urban Areas Security Initiative, to accept and expend a grant in the amount of \$2,000,000 from the United States Department of Homeland Security for the Securing the Cities Grant Program for the period of March 4, 2020, through October 30, 2020; and amending Ordinance No. 170-19 (Annual Salary Ordinance, File No. 190620 for FYs 2019-2020 and 2020-2021) to provide for the addition of four grant-funded positions, one each in Class 0932 Manager IV (FTE 1.0), Class 0931 Manager III (FTE 1.0), Class 1823 Senior Administrative Analyst (FTE 1.0), and Class 8601 Emergency Services Coordinator I (FTE 1.0).

Background Information

The purpose of the U.S. Department of Homeland Security (DHS) Securing the Cities (STC) Program is the reduction of the risk of a successful deployment of a weapon of mass destruction or the movement of materials into major metropolitan areas and regions of the nation.

Under the Notice of Funding Opportunity (NOFO), six (6) eligible regions in the United States were identified to partner with DHS for an overall program period of performance of up to ten years. The City and County of San Francisco, as fiscal agent and representative of the Bay Area UASI, was named as one of the six eligible partners. Including the 12 Bay Area counties, the area of implementation for the new Northern California STC region was defined as all California counties from the Oregon border on the north to Monterey, Kings, Tulare, and Inyo Counties on the south, from the Pacific Ocean on the west to the Nevada border on the east. It also included Washoe County in Nevada (collectively, the "partner jurisdictions"). The Department of Emergency Management, representing the partner jurisdictions, applied for and receive a total grant award of \$2,000,000.

The UASI Approval Authority is responsible for decisions regarding application, allocation, and distribution of STC grant funds. Under an agreement with the Bay Area UASI jurisdictions, and at the direction of the Approval Authority, San Francisco is the primary grantee and fiscal agent for purposes of receiving and distributing STC funds. STC grant funds from this award will be used to fund: (1) a contractor to conduct a regional Gap Analysis, (2) a contractor to create Alarm Sharing / Data Collection databases and tools, (3) a contractor to conduct Land / Maritime ConOps Outreach, (4) a contractor to develop an STC website and migrate data to the new site, (5) a contractor to plan for and conduct a regional stakeholder conference; (6) funding for rent, travel, and supplies, and (7) fund four (4) San Francisco staff within DEM, one (1) Class 0932 Manager IV (1 FTE), one (1) Class 0931 Manager III, one (1) Class 1823 Senior Administrative Analyst, and one (1) 8601 Emergency Services Coordinator I for the period of March –June 2020.

The grant period is from March 4, 2020 to October 30, 2020. Because the grant performance period began prior to the grant award, the word “retroactive” has been included in the legislative language.

Proposed Ordinance

The proposed ordinance authorizes the DEM, on behalf of the City and County of San Francisco, as the fiscal agent for the UASI Approval Authority, to retroactively accept and expend STC grant funds of \$2,000,000 from the DHS. The department proposes to maximize the use of grant funds by not including indirect costs, and the proposed ordinance waives indirect costs. Finally, the proposed ordinance authorizes the DEM Executive Director to take any additional steps necessary to accept, distribute and expend the grant funds.

Pursuant to Administrative Code §10.170-1(b), the ordinance also amends the Annual Salary Ordinance, FY 2019-20 and FY 2020-2021, to reflect the addition of four grant-funded positions at the DEM, by adding one (1) Class 0932 Manager IV, one (1) Class 0931 Manager III, one (1) Class 1823 Senior Administrative Analyst, and one (1) Class 8601 Emergency Services Coordinator I at DEM.

File Number: _____
(Provided by Clerk of Board of Supervisors)

Grant Ordinance Information Form
(Effective July 2011)

Purpose: Accompanies proposed Board of Supervisors ordinances authorizing a Department to accept and expend grant funds.

The following describes the grant referred to in the accompanying resolution:

1. Grant Title: FY 19 Securing the Cities Program
2. Department: Department of Emergency Management
3. Contact Person: Mary Landers Telephone: (415) 353-5225
4. Grant Approval Status (check one):
 [X] Approved by funding agency [] Not yet approved
5. Amount of Grant Funding Approved or Applied for: \$2,000,000
6. a. Matching Funds Required: \$ N/A
b. Source(s) of matching funds (if applicable):
7. a. Grant Source Agency: US Department of Homeland Security (DHS)
b. Grant Pass-Through Agency (if applicable):
8. Proposed Grant Project Summary: For the purpose of developing a program that reduces the risk of a successful deployment of a weapon of mass destruction.
9. Grant Project Schedule, as allowed in approval documents, or as proposed:
Start-Date: 3/4/2020 End-Date: 10/30/2020
10. Number of new positions created and funded: 4
11. Explain the disposition of employees once the grant ends? Employee positions cease at grant's end.
12. a. Amount budgeted for contractual services: \$1,449,635
b. Will contractual services be put out to bid? Yes
c. If so, will contract services help to further the goals of the Department's Local Business Enterprise (LBE) requirements? No. Federal grant does not allow.
d. Is this likely to be a one-time or ongoing request for contracting out? One time.
13. a. Does the budget include indirect costs?
 [] Yes [X] No
b. 1. If yes, how much? \$
b. 2. How was the amount calculated?
c. 1. If no, why are indirect costs not included?
 [] Not allowed by granting agency [X] To maximize use of grant funds on direct services
 [] Other (please explain):
c. 2. If no indirect costs are included, what would have been the indirect costs? unknown
14. Any other significant grant requirements or comments:

****Disability Access Checklist****

15. This Grant is intended for activities at (check all that apply):

- | | | |
|--|---|--|
| <input checked="" type="checkbox"/> Existing Site(s) | <input type="checkbox"/> Existing Structure(s) | <input type="checkbox"/> Existing Program(s) or Service(s) |
| <input type="checkbox"/> Rehabilitated Site(s) | <input type="checkbox"/> Rehabilitated Structure(s) | <input type="checkbox"/> New Program(s) or Service(s) |
| <input checked="" type="checkbox"/> New Site(s) | <input type="checkbox"/> New Structure(s) | |

16. The Departmental ADA Coordinator or the Mayor's Office on Disability have reviewed the proposal and concluded that the project as proposed will be in compliance with the Americans with Disabilities Act and all other Federal, State and local access laws and regulations and will allow the full inclusion of persons with disabilities, or will require unreasonable hardship exceptions, as described in the comments section:

Comments:

Departmental ADA Coordinator or Mayor's Office of Disability Reviewer:

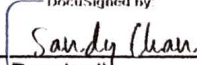
Sandy Chan

(Name)

Human Resources Manager

(Title)

Date Reviewed: 5/5/2020

DocuSigned by

 (Signature Required)

Overall Department Head or Designee Approval:

Mary Ellen Carroll

(Name)

Executive Director

(Title)

Date Reviewed: 5/5/2020

DocuSigned by

 (Signature Required)



London Breed
Mayor

Department of Emergency Management

1011 Turk Street, San Francisco, CA 94102

Phone: (415) 558-3800 Fax: (415) 558-3843



Mary Ellen Carroll
Executive Director

To: Angela Calvillo, Clerk of the Board of Supervisors

From: Mary Ellen Carroll
Executive Director, Department of Emergency Management

Date: May 4, 2020

Re: **Ordinance to Accept and Expend 2019 Securing the Cities Program Grant Award and amend Annual Salary Ordinance (ASO)**

The Department of Emergency Management is pleased to present the following Grant Report in summary of the above-referenced item submitted by the Department of Emergency Management.

Legislation For Approval:

The proposed ordinance seeks the Board of Supervisors' approval for the acceptance (retroactive) and expenditure of \$2,000,000 from the United States Department of Homeland Security (DHS), to develop a program that reduces the risk of a successful deployment of a weapon of mass destruction or the movement of materials into major metropolitan areas and regions of the nation. It further seeks to amend the Annual Salary Ordinance for Fiscal Years 2019-2020 and 2020-2021 to add four (4) FTEs- one (1) Class 0932, one (1) Class 0931, one (1) Class 1823, and one (1) Class 8601.

Departments:

Department of Emergency Management (DEM). Expenditures will benefit the 12 counties of the Bay Area UASI and all California counties from the Oregon border on the north to Monterey, Kings, Tulare, and Inyo Counties on the south, from the Pacific Ocean on the west to the Nevada border on the east. It also includes Washoe County in Nevada (collectively known as the "partner jurisdictions").

DEM serves as the fiscal agent for the Bay Area UASI, which is administering the grant for the Bay Area region and the wider Northern CA STC region. DEM would be authorized to accept and expend these grant funds on behalf of the partner jurisdictions to receive grant reimbursements for expenses incurred on behalf of the Northern CA region.

As the Fiscal Agent, DEM is responsible for administering the grant and ensuring that grant funds are spent according to the programmatic and financial guidelines.

Amount: \$2,000,000

Grant Period: March 4, 2020 through October 30, 2020

Retroactivity: The Accept and Expend Legislation requests retroactive approval because the Federal Grant period commenced before the legislation was introduced. No grant funds will be encumbered or expended until the Board of Supervisors approves the Accept and Expend legislation.

Source of funds: U.S. Department of Homeland Security (DHS)

Required Match: Match not required

Indirect Costs: The legislation waives indirect costs in order to maximize the use of available grant funds.

Description: The proposed ordinance authorizes the Department of Emergency Management (DEM) to accept and expend \$2,000,000 in federal grant funding from the FY 2019 Securing the Cities Grant Program (Agreement # 20CWDSTC000050-01-00), issued by DHS.

Budget: The summary budget by activity for the subject grant is as follows:

(1) **Contracts/Consultants:** \$1,449,635

Contractors will be engaged in the following tasks: conducting a regional Gap Analysis, creating Alarm Sharing / Data Collection databases and tools, conducting Land / Maritime ConOps Outreach, conducting stakeholder meetings, developing an STC Website and migrating data to the new site, and planning for and conducting a regional stakeholder conference.

(2) **Personnel:** \$ 445,261

The budgeted amount has been allocated for the purpose of hiring personnel within the Department of Emergency Management to oversee and manage the development of the STC program. The planned personnel are allocated as follows: one (1) STC program manager, one (1) Chemical

Biological Radiological Nuclear Explosive (CBRNE) Regional Project Manager, one (1) financial specialist and one (1) administrative specialist. The proposed amendment to the Annual Salary Ordinance (AS) will fund these positions until June 30, 2020 and subsequently these positions will be included in the FY 2021- FY 2023 ASO.

(3) **Travel:** \$ 24,944
A \$24,944 travel budget is included in the approved funding.

(4) **Supplies:** \$ 31,000
A \$31,000 supplies budget is included in the approved funding.

(5) **Other- rent:** \$ 49,160
Management and Administration expenses include UASI line item office expenses and leases. The amount budgeted reflects 5% of the grant, which is the maximum allowable under the guidelines.

TOTAL Budget: **\$2,000,000**



2. Budget Narrative and Justification

Year One Budget Narrative

- 1) **PERSONNEL:** The Northern California STC Region will fund the following employees: one full time program analyst who specializes in rad/nuc operations, one full time financial specialist who specializes in grant requirements and will fulfill fiscal duties, and one full time administrative specialist who will provide clerical support for the regional program. Total budget for all salaries is: \$329,823.

EMPLOYEE SALARIES: The three (3) employees who will be assigned to the Northern California STC Region program:

- 1) One FTE Program Analyst \$142,792
- 2) One FTE Financial Specialist \$108,654
- 3) One FTE Administrative Specialist \$78,377

JUSTIFICATION:

- 1) The Program Analyst will coordinate all PRND activities in the 12-county San Francisco Bay Area and ensure coordination with the Northern California STC Program. In its role of fiscal agent, San Francisco will hire this person. As a San Francisco employee, the Program Analyst will hold the job classification of 0931-Manager III and the job title will be Program Analyst. It is expected that he/she will be a full-time equivalent on this project for 12 months. The annual salary for this position at this job classification is \$142,792 and the grant salary is \$142,792.
- 2) The Financial Specialist will serve as the grant administrative specialist with fiscal responsibilities similar to other analysts within the Bay Area UASI Management Team. In its role of fiscal agent, San Francisco will hire this person. As a San Francisco employee, the Financial Specialist will hold the job classification of 1823-Senior Administrative Analyst and the job title will be Financial Specialist. It is expected that he/she will be a full time equivalent on this project for 12 months. The annual salary for this position at this job classification is \$108,654 and the grant salary is \$108,654.
- 3) The Administrative Specialist will provide clerical support for the entire Northern California STC region. In its role of fiscal agent, San Francisco will also hire this person. As a San Francisco employee, the Administrative Specialist will hold the job classification of 8601- Emergency Services Coordinator and the job title will be Administrative Specialist. It is expected that he/she will be a full time equivalent on this project for 12 months. The annual salary for this position at this job classification is \$78,377 and the grant salary is \$78,377.

- 2) **FRINGE BENEFITS:** Fringe benefits were calculated at a rate of 35% and the base for allocating these fringe benefit expenses is \$115,438. The total cost for all fringe benefits is: \$115,438. The following are the cost breakdowns of the employees' fringe benefits:
- 1) Program Analyst: Retirement \$34,199, FICA \$8,853, Medicare \$2,070, Health \$4,855
Total Fringe: \$49,977
 - 2) Financial Specialist: Retirement \$26,023, FICA \$6,737, Medicare \$1,575, Health \$3,694
Total Fringe: \$38,029
 - 3) Administrative Specialist: Retirement \$18,771, FICA \$4,859, Medicare \$1,136, Health \$2,666
Total Fringe: \$27,432

JUSTIFICATION

The method for determining the percentages of breakdown for fringe benefits was the City and County of San Francisco's Collective Bargaining Agreement with the unions representing the employees described in Item #1. The estimated fringe benefits by percentage are as follows:

Retirement	23.95%
FICA	6.20%
Medicare	1.45%
Health and Unemployment Insurance	3.40%

- 3) **TRAVEL:** The Northern California STC Region Program Manager and the Program Analyst will travel to Washington, D.C. twice in Year One- once in June 2020 and once in December 2020. The total travel budget for travel to Washington, D.C. is \$8,320. Due to the size of the Northern California Region, the Program has divided the region into five (5) sub-regions. The Program Manager and Program Analyst will travel to the five (5) largest cities in each of these quadrants (Eureka, Fresno, Redding, and Sacramento in CA and Reno in NV) twice in Year One. The total travel budget to these five (5) cities is \$16,624.

The total travel budget for all trips is: \$24,944. Note: Other travel may occur at the request and/or recommendation of the CWMD Office.

JUSTIFICATION: The purpose of the trips to Washington, D.C. will be to discuss operational planning efforts and ensure plans and protocols and strategy for the Northern California STC Region are aligned. The estimation for the airfare is based on a review of current costs from a travel website for travel during business hours in June, 2020 and again

in December, 2020. The hotel and per diem amounts are based on the GSA website rates. Total travel costs are estimated to be as follows:

- a) Round Trip Travel from San Francisco to Washington, DC, June 2020 and December 2020:
 - Airfare from San Francisco to DCA: \$1,000 per person
 - Lodging in Washington, DC at the GSA approved rate: \$184 per person for three nights
 - Per Diem in Washington, DC at the GSA approved rate: \$76 per person per day for three days
 - Ground transportation costs (including to/from SFO and DCA airports, and all travel within the District): transportation costs are approximately \$300 per person.
 - Total trip costs: \$8,320

The purpose of the trips to the five sub-regions will be to introduce the PRND mission to the region and to ensure that the program is socialized among all the participants. The airfare estimates are based on a review of current costs from a travel website for travel during business hours in Year One. The hotel and per diem amounts are based on the GSA website rates.

- c) Round Trip Travel from San Francisco to Fresno (2 trips in Year One):
 - Airfare from San Francisco to Fresno \$500 per person
 - Lodging in Fresno at the GSA approved rate: \$110 per person for 3 nights
 - Per diem in Fresno at the GSA approved rate: \$66 per person per day for three days
 - Ground transportation costs (including to/from SFO and Fresno airports, and all travel within the area): transportation costs are approximately \$250 per person.
 - Total trip costs: \$5,112
- d) Round Trip Travel from San Francisco to Redding (2 trips in Year One):
 - No airfare as Redding is within driving distance of San Francisco.
 - Lodging in Redding at the GSA approved rate: \$96 per person for 3 nights
 - Per diem in Redding at the GSA approved rate: \$55 per person per day for three days.
 - Ground transportation costs (including automobile travel from San Francisco to Redding, and all travel within the area): transportation costs are approximately \$300 per person.
 - Total trip costs: \$3,012
- e) Round Trip Travel from San Francisco to Sacramento (2 trips in Year One):
 - No airfare as Sacramento is within driving distance of the 12 Bay Area Counties.
 - Lodging in Sacramento at the GSA approved rate: \$140 per person for 3 nights
 - Per diem in Sacramento at the GSA approved rate: \$66 per person per day for three days.

Ground transportation costs (including automobile travel from San Francisco to Sacramento, and all travel within the area): transportation costs are approximately \$250 per person.

Total trip costs: \$3,472

f) Round Trip Travel from San Francisco to Reno (2 trips in Year One):

Airfare from San Francisco to Reno: \$500 per person

Lodging in Reno at the GSA approved rate: \$103 per person for 3 nights

Per diem in Reno at the GSA approved rate: \$66 per person per day for three days

Ground transportation costs (including to/from SFO and Reno airports, and all travel within the area): transportation costs are approximately \$250 per person.

Total trip costs: \$5,028

4) **SUPPLIES:** The Northern California STC Region program will require the following supplies for the program: office supplies, mobile phones and phone/internet subscriptions, office furniture and copiers.

The breakdown of these costs is as follows:

Category	Cost
Office supplies (\$750 monthly x 12 months)	\$ 9,000
Mobile Phone Purchase (\$1,200 x 4)	\$ 4,800
Mobile Phones & Internet subscription service (\$100 monthly x 4)	\$ 4,800
Laptop Computers (4 x \$2,500)	\$ 10,000
Copiers (\$200 monthly x 12 months)	\$ 2,400
Total	\$ 31,000

JUSTIFICATION: The methodology used to determine this cost breakdown is based on existing costs within the Bay Area UASI Management Team office. Total cost for all supplies is \$31,000.

CONTRACTUAL: The Northern California STC Region plans to award six (6) contracts in the amount of \$1,449,635 in Year One issued through the Request for Proposals (RFP) process.

All procurement transactions in the Northern California STC Region will be conducted to provide, to the maximum extent possible, open and free competition. The San Francisco Administrative Code has specific guidelines (e.g. a cost or price analysis, the basis for the selection of the contractor, the type of contract and estimated cost/fee for profit concerning, etc.) in the RFP process as well as sole source procedures. In addition, the Bay Area UASI has written policies and procedures that guide the procurement process.

Identified below is each contract, identified by task for the proposed sub-award work to be performed, and the amount of each sub-award. A budget with a list of the expected work to be performed, is described.

CONTRACT #1: The Bay Area will hire as a contractor, a Region-wide Program Manager to be the Program Director for the Northern California STC Region. The contract amount is \$206,967.

The Program Manager will have six (6) main responsibilities:

- Provide overall leadership for the Northern California STC program, including: planning, implementation, operations and information exchange processes, personnel, and contractual efforts.
- Develop the foundation for information exchange methodology so that multiple STC regions may exchange radiation alarm information and intelligence between each other, the CWMD, FBI and other stakeholders.
- Implement a robust mobile PRND architecture and equipment set for both land and maritime pathways.
- Plan, develop, and implement policies and procedures that support integration of Federal, state and Northern California STC capabilities during enhanced PRND mission states through the use of the California Mutual-Aid system.
- Ensure that the Northern California STC program meets the goals and objectives described in its regional strategies and plans, and adheres to a risk-based approach for future self-sustainment of the program.
- Oversee the development of the Northern California STC Multi-year training and exercise plan (MYTEP) to further the radiological/nuclear detection mission on a regional basis with the CWMD, FBI and other stakeholders.

JUSTIFICATION: This Program Manager will hold the same job classification as other Senior Staff on the Bay Area UASI Management Team. The Program Manager will hold the equivalent of a San Francisco City position with the job classification of # 0932-Manager IV and the job title will be Region-wide Program Manager. It is expected that he/she will work as a full time equivalent on this project for 12 months.

CONTRACT #2: To transition from the existing Bay Area PRND Program to the new, expanded Northern California STC Region, a consultant will be tasked with planning a stakeholder kick off meeting to be hosted in San Francisco. Estimated costs for this event will be \$112,668 (including facility cost and travel costs as necessary). The consultant will be further tasked with developing and conducting four other regional stakeholder workshops in the other four sub-regions of the Northern California STC Area of Responsibility (AOR). These meetings and workshops are anticipated to be scheduled for 1-2 days and cost \$50,000 each for a total of 200,000. Attendees will include AOR primary partners, sub partners, first responders, and Executive Committee members. The planned location for the four regional workshops are Fresno, Sacramento, Redding, and Reno.

Contractor services to plan, coordinate, and schedule all events will be \$50,000. Total contract costs are \$362,668.

JUSTIFICATION: Due to the large geographic area of the Northern California STC Region, these kickoff meetings are the most efficient and effective way to inform and develop a full awareness of the STC program. They will also serve to establish AOR partner networking forums, discuss and confirm mutual aid protocols in a WMD incident, and coordinate procedures with Federal, State, and military CWMD operations.

CONTRACT #3: The Northern CA STC region requires a gap analysis to ensure effective planning. A survey of existing radiological/nuclear screening, search, and detection capabilities will be conducted and then analyzed. Using FEMA-typed PRND national qualification system (NQS) criteria, an analysis of existing PRND operations, equipment capabilities, training and exercises as well as radiation alarm information sharing capabilities will be prepared. As a result of this gap analysis, the contractor will be further tasked with developing a 3 - 5 year strategic plan to identify goals, objectives and tasks with milestones as well as defining agency roles and responsibilities in closing these gaps. The estimated cost of the contractual services is \$100,000.

JUSTIFICATION: The gap analysis will allow the region to better understand its first responder base line readiness to perform the PRND mission. The gap analysis will also guide the development of the Northern California STC multi-year training and exercise plan and future PRND equipment procurements. Using a risk-based approach, strategic planning for the next 5 years will allow the Northern California STC Region to enhance and build its PRND capabilities and lay the foundation for sustainment.

CONTRACT #4: Three services will be provided in the task: 1) development of a Radiation Alarm information Sharing Plan, 2) development of a PRND Data Collection and Report Plan, and 3) individualized consulting services in the STC AOR to provide customized planning templates for the 49 counties in California and Nevada.

The Radiation Alarm Information Sharing Plan will define how the adjudication of radiological information will be pushed up and shared with the FBI and other STC partners in order to better address a potential National Level Event. This plan will also include the policies and procedures necessary in the data information flow framework. This information flow will address the collection of information from first responder STC PRND equipment, such as Radiation Isotope Identification Detectors (RIID) and Personal Radiation Detectors (PRD), to ensure law enforcement sensitive information is properly shared with other STC AOR partners.

The PRND Data Collection and Report Plan will describe the required PRND collection data sets needed to satisfy grant requirements. Information such as number of radiation alarms received, number of radiation detectors deployed in a reporting period, number of personnel trained and exercises conducted will be collected, stored and reported to the CWMD Office, the FBI and the CalOES Law Enforcement and Fire Branch Mutual Aid

Coordinators. This plan will outline information needed to track, monitor and store activities of PRND equipment and trained personnel. This data will also provide critical information to efficiently use AOR mutual aid resources during enhanced PRND operations.

Consulting services will be included to work with individual jurisdictions and agencies in the Northern California STC AOR 49 counties to utilize these planning templates and customize plans to meet STC requirements and operational goals.

Each plan is estimated to cost \$75K and includes templates for standardized data collection and reporting protocols. The consulting services to conduct outreach to 49 counties and work with agencies such as Law, Fire and other organizations participating in the PRND mission to complete customization of local government plans is estimated to cost \$150,000. The total for this contract is \$300,000.

JUSTIFICATION: The Radiation Alarm Information Sharing Plan and Data Collection and Report Plan, as well as the development and customization of supporting policies and procedures will allow the region to appropriately adjudicate radiation alarms according to the requirements of both the National and Northern California PRND ConOps. This effort will be instrumental in writing memoranda of understanding between Northern California STC principal and sub partners. This effort will also assist incident commanders responding to PRND incidents, to acquire and maintain real-time situational awareness, as well as support the creation of a common operating picture during all PRND mission states.

CONTRACT #5: This task will fund technical services that encompass both the development of a secure website and the creation of a document storage and retrieval system for authorized personnel.

This secure website will include: a common calendar containing current training and exercise opportunities as well as meeting notifications, an e-learning module for student training enrollment and content delivery tracking, and a centralized student database with a single point of access for course registration. The cost for this website development is \$150,000.

To support the archiving and retrieval of all Bay Area PRND legacy information, the consultant will be tasked with developing software solutions and conducting data entry into a format compatible with all AOR and federal management systems. Under certain circumstances, manual data entry may also be required. The cost for this effort is \$50,000. The total estimated cost of the contractual services for this contract is \$200,000.

JUSTIFICATION: The website will allow principal partners, sub partners, and other STC stakeholders to access program documents, job aids, and other PRND resources. A

common calendar containing meeting notices, including current training and exercise opportunities, will help coordinate and deconflict PRND activities throughout the region. An e-learning module will support the efficient and timely tracking of student training enrollments, training content delivery, and student testing and evaluation of training course effectiveness. The website's centralized student database will provide PRND stakeholders and program managers with information that includes enrollment, personnel qualifications, and certification status. Automated access to this information will assist in reducing administrative tracking costs.

Bay Area PRND legacy information needs to be migrated to a standardized format that is compatible with federal and other STC stakeholder systems. This task will also address regional PRND data management and records retention protocols and allow for more effective administration of the program. Maintaining data integrity and supporting ongoing plan development is an important component of the Northern CA STC region approach.

CONTRACT #6: A consultant will update and expand two plans: 1) the Bay Area's land-based PRND Concept of Operations Plan, and 2) the Bay Area's maritime PRND Concept of Operations Plan. Both plans will provide for the effective application of PRND operations throughout the Northern California STC AOR. The development of the PRND Land ConOps Plan and the PRND Maritime ConOps Plan are estimated to cost \$50,000 each, for a total of \$100,000 for the task.

To further build strong regional capabilities, the consultant will also conduct outreach in each of the 49 AOR counties to identify and address jurisdiction-specific radiological nuclear prevention and response policies and procedures. Each customized plan will be shared as an appendix to the Northern California STC AOR ConOps. Consultant services for this task are estimated at \$130,000.

Upon completion of the plans, the contractor will also be tasked with developing a PRND Field Operations Guide (FOG) to provide a standardized guidance document with information on the incident command system (ICS) and synthesized operational guidance and term definitions to support response in typical PRND mission states. The PRND FOG will include position descriptions, checklists and diagrams to facilitate that guidance. The development of the PRND Field Operations Guide (FOG) is estimated at \$38,240.

The Northern California STC PRND FOGs will also be printed and distributed to all AOR Counties. Twelve (12) copies of the color-coded, specially printed and bound document will be distributed to each of the 49 counties for Law, Fire and other PRND partner use. PRND FOG printing is estimated at \$20 per copy. The cost for printing these 588 FOGs is estimated at \$11,760. For agencies wishing to print additional copies, an electronic PRND FOG template will be available for individual agency customization and printing.

The total cost for this contract is \$280,000.

JUSTIFICATION: The Bay Area PRND Concept of Operations Plan contains guidance specific to the twelve (12) counties that make up the Bay Area UASI foot print. The Northern CA PRND Concept of Operations Plan will be expanded and similarly customized to be of value to the other 37 counties that make up the Northern California STC AOR. Examples of guidance specific to these counties include the telephone numbers of the local FBI field office, Customs and Border Patrol, TSA VIPER teams, California Department of Health-Radiation Health Branch, Army National Guard Civil Support Team and other local and regional PRND resources. The creation of a PRND FOG manual will ensure consistent application of the Northern California PRND Concept of Operations Plan but also appropriate use of the ICS system in support of PRND operations and the ability to readily access information useful to field personnel.

- 7) **OTHER DIRECT COSTS:** The Other Direct Costs item is for facility rental for setting up the Northern California STC Region office. The cost breakdown is 950 sq. ft. @\$51.75/sq. ft. to locate the four (4) staff members. These expenses total \$49,160.

JUSTIFICATION: The facility rental is based on situating four (4) Northern California STC Region staff in the existing Bay Area UASI Management Team offices. They will be sharing space with the existing team and the square foot cost is based on prevailing rental rates in the area.

Year One Budget Summary

CATEGORY	EXPENSE
1. Personnel	\$ 329,823
2. Fringe Benefits	\$ 115,438
3. Travel	\$ 24,944
5. Supplies	\$ 31,000
6. Contractual	\$ 1,449,635
7. Other Direct Costs	\$ 49,160
TOTAL	\$ 2,000,000

Years Two - Ten Budget Narrative

The budget allocation will shift over the life of the grant and in alignment with the phases described in the NOFO.

Year Two will continue the baseline work of Year One. In Year 2 investments in training and equipment procurements will begin in order to expand the radiological/nuclear screening, search and detection capability using a risk-based approach. Input from Year One's gap analysis will also be acted upon. Also in Year Two, at least one PRND tabletop and one full scale exercise based on individual competencies will be conducted in sub-regions of the Northern California STC region that have PRND capabilities. An awareness effort of the Northern California STC Region mission to the region's public safety agencies will continue throughout Year Two. Therefore, the planning and contract allocation of Year One will decrease while equipment and training increase in Year Two.

Year Three will continue the equipment deployment, training and exercise effort. Exercises will range from individually based competency sustainment exercises to tactical and strategic exercises. More exercises will be conducted during this year, also focusing on special events and specific tactical circumstances. Planning and management will remain somewhat static, calibrating to ongoing PRND work group activity. Training allocations will increase and shift to more exercise related activities. Initial training allocations remains mostly static but will see some mild increases to include annual refresher needs and new employees. Equipment funding will be more targeted in areas of unmet equipment deployment or specialty mobile equipment, as well as maintenance and repair.

Year Four will continue training and exercise building upon the work of the preceding three years and calibrating efforts to noted gaps or overlaps. Federal partners will be featured in this year's exercises. Remaining unmet equipment needs and routine maintenance and repairs will be addressed.

Year Five will continue training, exercising, and equipment purchases as needed, using the plan developed earlier in the Northern California STC Region process. Allocations will be decreased as necessary.

Years 6 – 10 will begin implementing a sustainment effort, using the plan developed earlier in the Northern California STC Region process. Any final equipment, training and exercise gaps will be filled.

The table below indicates the shifts in funding from Year One through Year Ten:

Category	Year One	Year Two	Year Three	Year Four	Year Five
Program Personnel	\$445,261	\$445,261	\$445,261	\$445,261	\$445,261
Equipment	\$0	\$4,793,472	\$4,793,472	\$4,793,472	\$4,793,472
Travel	\$24,944	\$24,944	\$24,944	\$24,944	\$24,944
Supplies	\$31,000	\$31,000	\$31,000	\$31,000	\$31,000
Contractual	1,449,635	\$256,967	\$256,967	\$256,967	\$256,967
Other	\$49,160	\$49,160	\$49,160	\$49,160	\$49,160
TOTAL	\$2,000,000	\$5,600,804	\$5,600,804	\$5,600,804	\$5,600,804

Category	Year Six	Year Seven	Year Eight	Year Nine	Year Ten
Program Personnel	\$445,261	\$445,261	\$445,261	\$445,261	\$445,261
Equipment	\$2,000,000	\$1,000,000	\$200,000	\$200,000	\$200,000
Travel	\$24,944	\$24,944	\$24,944	\$24,944	\$24,944
Supplies	\$31,000	\$31,000	\$31,000	\$31,000	\$31,000
Contractual	\$256,967	\$256,967	\$256,967	\$256,967	\$256,967
Other	\$49,160	\$49,160	\$49,160	\$49,160	\$49,160
TOTAL	\$2,807,332	\$1,807,332	\$1,007,332	\$1,007,332	\$1,007,332

1. DATE ISSUED MM/DD/YYYY 03/04/2020		1a. SUPERSEDES AWARD NOTICE dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded	
2. CFDA NO. 97.108 - Cooperative Agreements			
3. ASSISTANCE TYPE Cooperative Agreement			
4. GRANT NO. 20CWDSTC00005-01-00 Formerly		5. TYPE OF AWARD Other	
4a. FAIN 20CWDSTC0000		5a. ACTION TYPE New	
6. PROJECT PERIOD MM/DD/YYYY From 03/04/2020		Through MM/DD/YYYY 10/30/2029	
7. BUDGET PERIOD MM/DD/YYYY From 03/04/2020		Through MM/DD/YYYY 10/30/2020	

8. TITLE OF PROJECT (OR PROGRAM)
Northern California Securing the Cities Region Program

9a. GRANTEE NAME AND ADDRESS SAN FRANCISCO, CITY & COUNTY OF 711 Van Ness Ave Ste 420 Dept of Emergency Management San Francisco, CA 94102-3284	9b. GRANTEE PROJECT DIRECTOR Ms. Mary T Landers 711 Van Ness Avenue, #420 BA UASI SAN FRANCISCO, CA 94102-3244 Phone: 415-353-5225
10a. GRANTEE AUTHORIZING OFFICIAL Mr. Philip White 711 Van Ness Ave. #420 BA UASI San Francisco, CA 94102-3244	10b. FEDERAL PROJECT OFFICER Mr. Michael Simon 1120 Vermont Ave. DHS, CWMD Washington, DC 20005 Phone: (202) 254-7040

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)		12. AWARD COMPUTATION																	
I Financial Assistance from the Federal Awarding Agency Only		a. Amount of Federal Financial Assistance (from item 11m) 2,000,000.00																	
II Total project costs including grant funds and all other financial participation II		b. Less Unobligated Balance From Prior Budget Periods 0.00																	
a. Salaries and Wages 329,823.00		c. Less Cumulative Prior Award(s) This Budget Period 0.00																	
b. Fringe Benefits 115,438.00		d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION 2,000,000.00																	
c. Total Personnel Costs 445,261.00		13. Total Federal Funds Awarded to Date for Project Period 2,000,000.00																	
d. Equipment 0.00		14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project):																	
e. Supplies 31,000.00		<table border="1"> <thead> <tr> <th>YEAR</th> <th>TOTAL DIRECT COSTS</th> <th>YEAR</th> <th>TOTAL DIRECT COSTS</th> </tr> </thead> <tbody> <tr> <td>a. 2</td> <td></td> <td>d. 5</td> <td></td> </tr> <tr> <td>b. 3</td> <td></td> <td>e. 6</td> <td></td> </tr> <tr> <td>c. 4</td> <td></td> <td>f. 7</td> <td></td> </tr> </tbody> </table>		YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS	a. 2		d. 5		b. 3		e. 6		c. 4		f. 7	
YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS																
a. 2		d. 5																	
b. 3		e. 6																	
c. 4		f. 7																	
f. Travel 24,944.00		15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:																	
g. Construction 0.00		a. DEDUCTION																	
h. Other 49,160.00		b. ADDITIONAL COSTS																	
i. Contractual 1,449,635.00		c. MATCHING																	
j. TOTAL DIRECT COSTS 2,000,000.00		d. OTHER RESEARCH (Add / Deduct Option)																	
k. INDIRECT COSTS 0.00		e. OTHER (See REMARKS)																	
l. TOTAL APPROVED BUDGET 2,000,000.00		b																	
m. Federal Share 2,000,000.00		16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:																	
n. Non-Federal Share 0.00		a. The grant program legislation b. The grant program regulations. c. This award notice including terms and conditions, if any, noted below under REMARKS. d. Federal administrative requirements, cost principles and audit requirements applicable to this grant. In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.																	

REMARKS (Other Terms and Conditions Attached - Yes No)
This Award provides a Cooperative Agreement in the amount of \$2,000,000 for the purpose of conducting a project under the Securing the Cities Program.

GRANTS MANAGEMENT OFFICIAL:
Lisa Johnson, Associate Director
7th and D Street SW
Washington DC, DC 20407
Phone: (202) 309-8010

17.OBJ CLASS 4100	18a. VENDOR CODE 976000417	18b. EIN 946000417	19. DUNS 070384255	20. CONG. DIST. 12
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. O80770800411	b. CWDSTC00005A	c. STC	d. \$2,000,000.00	e. O80770800411
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

**Department of Homeland Security
Department of Homeland Security**

245 Murray Lane, SW
Mail Stop 0115
Washington, DC 20528

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)
Section 4(a)(12) of the Nuclear Forensics and Attribution Act, Public Law
111-140

AWARD ATTACHMENTS

CITY AND COUNTY OF SAN FRANCISCO

20CWDSTC00005-01-00

1. STC Award Letter UASI SF CA
2. STC Terms and Conditions UASI SF CA



Homeland
Security

March 4, 2020

Ms. Mary T. Landers
Regional Grants Manager
Department of Emergency Management
Bay Area Urban Areas Security Initiative
711 Van Ness Avenue, #420
San Francisco, CA 94102-3244

RE: Agreement No. 20CWDSTC00005-01-00

Dear Ms. Landers:

Congratulations! I am pleased to inform you that the Department of Homeland Security (DHS) has approved your Securing the Cities application for a cooperative agreement award. Your application was awarded in the amount of \$2,000,000.

As you are aware, the Grants and Financial Assistance Division utilizes the GrantSolutions system, which is an online grants management system. Grantees will be able to access their grant portfolio, submit applications, submit performance and financial status reports, access grant related correspondence, and request amendments. However, user accounts must be established by completing the form Grantee User Account Form from this link:

<https://www.grantsolutions.gov/support/registration.html>. Accounts should be established for your Authorizing Official and Program Director, as well as any other users who require access and notifications of award activity. All Grantee User Account forms should be submitted directly to the GrantSolutions Help Desk at: help@grantsolutions.gov. We ask that all accounts for relevant staff be established in the system no later than **Friday, March 20, 2020**.

In addition to GrantSolutions, GFAD uses the Department of Health and Human Services (DHHS), Payment Management System (PMS) for payment of funds under all awards. PMS is a full service central payment and cash management system which requires you to establish a user account. You are encouraged to immediately complete the required PMS access forms. Otherwise payments for any work performed under the grant program will not be processed until these forms are properly submitted to PMS, and an account has been established for your organization. Please note the following:

If your organization has never received grant funds from the DHS Grants and Financial Assistance Division, you must complete the New User and Account Establishment process directly on the PMS site. Additional information may be found at: <https://pms.psc.gov/grant-recipients/access-newuser.html>. When completing the

SF1199A form, Section 2 should contain the following information: Department of Homeland Security, 245 Murray Lane, SW, Washington, DC 20528-0115.

If you have received grant funds through this DHS-HQ Grants office in the past, you will not be required to submit these forms. However, please contact me to verify your account information prior to attempting to access funds.

Lastly and as a reminder, under the terms and conditions of this award, your organization must maintain an active System for Award Management (SAM) registration at <https://www.sam.gov/portal/public/SAM/> The account must remain active until you send the final financial report or until you receive the final payment, whichever is later. If your organization's SAM registration expires during the required period, the Service will suspend payment under this [and all other service] awards to your organization until the registration is updated by your organization.

If you have questions concerning this award, please contact the appropriate DHS official listed below.

Program/Technical matters - Program Officer, Mr. Michael Simon
Email: Michael.Simon@HQ.DHS.GOV
Phone: (202) 254-7040

Grant/Fiscal related matters - Grant Officer, Ms. Lisa Johnson
Email: Lisa.Johnson1@HQ.DHS.GOV
Phone: (202) 447-5094

Sincerely,

Lisa Johnson

Lisa Johnson
Associate Director
Grants and Financial Assistance Division
U.S. Department of Homeland Security, OPO

COOPERATIVE AGREEMENT TERMS AND CONDITIONS
GRANTS AND FINANCIAL ASSISTANCE DIVISION (GFAD)

In addition to the **DHS Standard Terms and Conditions** as outlined here: <http://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>, the following Terms and Conditions apply specifically to this award as administered by the Grants and Financial Assistance Division (GFAD):

ARTICLE I. GENERAL ADMINISTRATIVE TERMS AND CONDITIONS

A. AWARD SPECIFIC TERMS AND CONDITIONS

1. Working drafts of the following documents are due to the DHS STC Federal Program Manager by the time period indicated after the validation date. The validation date will be set after award and will correspond with the region's emplacement of a local initial STC Program Manager. DHS expects work to commence on these documents early in the implementation process. Each document will indicate concurrence by all STC principal partners. DHS STC Program Office will provide templates and significant assistance in the production of these documents. Once finalized, each of the documents should be placed in a periodic review cycle to be updated as the program matures.

Regional Strategic Plan - six (6) months from validation date

Regional Organization Chart - six (6) months from validation date

Committee Charters (if applicable) - six (6) months from validation date

Regional Implementation Plan nine (9) months from validation date

Regional Operations Plan - twelve (12) months from validation date

Regional Multi-Year Training and Exercise Plan - twelve (12) months from validation date

Information Exchange Plan 0 eighteen (18) months from validation date

Life-Cycle Sustainment Plan - twenty-four (24) months from validation date

B. DHS PROGRAMMATIC INVOLVEMENT

1. Work with recipients to identify the appropriate equipment for specific regional operations and procure identified equipment for the region. Primary screening equipment procured by DHS will become the property of the recipient. Secondary screening equipment will remain the property of the Federal government, loaned to the recipients for their use as long as they participate in the STC program, or until the equipment needs to be replaced. DHS will replace the equipment if doing so is in the Government's best interest, based upon the recipient's need, funds availability, and operational/logistical resources.

2. Assist in the establishment of Federal interagency partnerships, collaboration and cooperation for carrying out the project.

3. Provide training and training materials for participating jurisdictions and provide updates to eligible training courses, subject to the availability of funds.

4. Provide technical assistance to STC partners in developing regional operations plan.

5. Attend and participate in appropriate meetings initiated by State and local stakeholders, including meetings of the STC committees, subcommittees, and working groups, as applicable. Subject matter experts may periodically attend, participate and advise local program managers as necessary.

6. Provide technical assistance workshops as deemed necessary by DHS.

C. AMENDMENTS AND REVISIONS

1. Budget Revisions

a. The Recipient shall obtain prior written approval from the DHS Grants Officer for transfers of funds between direct cost categories in the approved budget when such cumulative transfers among those direct cost categories exceed ten percent of the total budget approved.

b. The Recipient shall obtain prior written approval from the DHS Grants Officer for any budget revision that would result in the need for additional resources/funds.

c. The Recipient is not authorized at any time to transfer amounts budgeted for direct costs to the indirect costs line item or vice versa, without prior written approval of the DHS Grants Officer.

2. Extension Request

a. Extensions to the Period of Performance can only be authorized in writing by the DHS Grants Officer.

b. The extension request shall be submitted to the DHS Grants Officer sixty (60) days prior to the expiration date of the performance period.

c. Requests for time extensions to the Period of Performance will be considered, but will not be granted automatically, and must be supported by adequate justification in order to be processed. The justification is a written explanation of the reason or reasons for the delay; an outline of remaining resources/funds available to support the extended Period of Performance; and a description of performance measures necessary to complete the project. In addition, extension requests shall not be processed without up-to-date performance and financial status reports.

d. DHS has no obligation to provide additional resources/funding as a result of an extension.

D. EQUIPMENT

1. Title to equipment acquired by the Recipient with Federal funds provided under this Award shall vest in the Recipient, subject to the conditions pertaining to equipment in the 2 CFR Part 200.
2. Prior to the purchase of Equipment in the amount of \$5,000 or more per unit cost, the recipient must obtain the written approval from DHS.
3. For equipment purchased with Award funds having a \$5,000 or more per unit cost, the Recipient shall submit an inventory that will include a description of the property; manufacturer model number, serial number or other identification number; the source of property; name on title; acquisition date; and cost of the unit; the address of use; operational condition of the property; and, disposition data, if applicable. This report will be due with the Final Progress Report ninety (90) days after the expiration of the Project Period, and shall be submitted via GrantSolutions using the using the help/Support guidance entitled, "Quicksheet: Add a Grant Note" guidance found here:
<https://www.grantsolutions.gov/support/granteeUsers.html>

E. FINANCIAL REPORTS

1. Quarterly Federal Financial Reports – the Recipient shall submit a Federal Financial Report (SF-425) into the GrantSolutions system no later than thirty (30) days after the end of the reporting period end date. Reports are due on Apr 30, Jul 30, Oct 30, and Jan 30. The report shall be submitted via www.GrantSolutions.gov using the Grant submission guidance entitled, "Grantee Reporting Process: Federal Financial Report" found here: <https://www.grantsolutions.gov/support/granteeUsers.html>
2. Final Federal Financial Report – the Recipient shall submit the final Federal Financial Report (SF-425) into the GrantSolutions system no later than ninety (90) days after the end of the Project Period end date. The report shall be submitted via www.GrantSolutions.gov using the Grant submission guidance entitled, "Grantee Reporting Process: Federal Financial Report" found here:
<https://www.grantsolutions.gov/support/granteeUsers.html>
3. Quarterly Federal Financial Reports (Cash Transaction) – the Recipient shall submit the Federal Financial Report (SF-425) Cash Transaction Report to the Department of Health and Human Services, Payment Management System. Quarterly Cash Transaction reports shall be submitted no later than 1/30, 4/30, 7/30, and 10/30.

F. PAYMENT

The Recipient shall be paid in advance using the U.S. Department of Health and Human Services/Payment Management System, provided it maintains or demonstrates the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of the funds from the DHS and expenditure disbursement by the Recipient. When these requirements are not met, the Recipient will be required to be on a reimbursement for costs incurred method.

Any overpayment of funds must be coordinated with the U.S. Department of Health and Human Services/Payment Management System.

G. PERFORMANCE REPORTS

1. Quarterly Performance Reports – the Recipient shall submit performance reports into the GrantSolutions system no later than thirty (30) days after the end of the reporting period end date. Reports are due on Apr 30, Jul 30 Oct 30, and Jan 30. The report shall be submitted via GrantSolutions using the using the help/Support guidance entitled, "Quicksheet: Add a Grant Note" found here: <https://www.grantsolutions.gov/support/granteeUsers.html>. Please remember to include the program name, report type (ie 1st Quarter program) and award number in the note subject line.

a. Performance reports must provide information on the overall progress by quarter. These reports

- * A comparison of actual accomplishments with the goals and objectives established for the period.

- * Reasons why established objectives were not met, if applicable.

- * Other pertinent information including, when appropriate, analysis and explanation of cost

b. If the performance report contains any information that is deemed proprietary, the Recipient will denote the beginning and ending of such information with asterisks (*****)

c. For submission of this information, complete the Performance Progress Report (PPR) found at: <http://www.fema.gov/media-library/assets/documents/29485> OMB #0970-0334.

2. Final Performance Report – the Recipient shall submit the Final Performance Report into the GrantSolutions system no later than ninety (90) days after the expiration of the Project Period. The Final Performance Report shall be submitted via GrantSolutions using the help/Support guidance entitled, "Quicksheet: Add a Grant Note" found here: <https://www.grantsolutions.gov/support/granteeUsers.html>. Please remember to include the program name, report type (ie, 1st Quarter Program) and award number in the note subject line.

For submission of this information, complete the Performance Progress Report (PPR) found at: <http://www.fema.gov/media-library/assets/documents/29485> OMB #0970-0334.

H. PERIOD OF PERFORMANCE

The approved Project and Budget Periods for the supported activity is contingent upon the following:

1. Acceptable performance of the project as determined by the Department of Homeland Security (DHS);
2. If applicable, acceptance and approval of each non-competing continuation application by the DHS;

3. Subject to the availability of annual DHS appropriated funds.

I. PRIOR APPROVAL REQUIRED

The Recipient shall not, without the prior written approval of the DHS, request reimbursement, incur costs or obligate funds for any purpose pertaining to the operation of the project, program, or activities prior to the approved Budget Period.

ARTICLE II. GENERAL TERMS AND CONDITIONS

A. ACCESS TO RECORDS.

The Recipient shall retain financial records, supporting documents, statistical records, and all other records pertinent to this Award for a period of three years from the date of submission of the final expenditure report. The only exceptions to the aforementioned record retention requirements are the following:

1. If any litigation, dispute, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, dispute or audit findings involving the records have been resolved and final action taken.
2. Records for real property and equipment acquired with Federal funds shall be retained for three (3) years after final disposition.
3. The DHS Grants Officer may direct the Recipient to transfer certain records to DHS custody when he or she determines that the records possess long term retention value. However, in order to avoid duplicate recordkeeping, the DHS Grants Officer may make arrangements for the Recipient to retain any records that are continuously needed for joint use.

DHS, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, have the right of timely and unrestricted access to any books, documents, papers, or other records of the Recipient that are pertinent to this Award, in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to Recipient's personnel for the purpose of interview and discussion related to such documents. The rights of access in this award term are not limited to the required retention period, but shall last as long as records are retained.

With respect to sub-recipients, DHS shall retain the right to conduct a financial review, require an audit, or otherwise ensure adequate accountability of organizations expending DHS funds. Recipient agrees to include in any sub-award made under this Agreement the requirements of this award term (Access to Records).

B. COMPLIANCE ASSURANCE PROGRAM OFFICE TERMS AND CONDITIONS

The Compliance Assurance Program Office (CAPO) is comprised of the DHS Treaty Compliance Office (TCO), Export Control Group (ECG), and the DHS Regulatory Compliance Office (RCO). The Compliance Assurance Program Manager (CAPM) is the DHS official responsible for overseeing CAPO and implementing procedures to ensure that the Recipient and any Recipient institutions/collaborators under this Award comply with international treaties, federal regulations, and DHS policies for Arms Control Agreements, Biosafety, Select Agent and Toxin Security, Animal Care and Use, the Protection of Human Subjects, Life Sciences Dual Use Research of Concern, and Export Controls.

CAPO collects and reviews relevant documentation pertaining to this Award on behalf of the Compliance Assurance Program Manager. Additional guidance regarding the review process is provided in the following sections, along with contact information for the TCO, RCO, and ECG. This guidance applies to the Recipient and any/all Recipient institutions involved in the performance of work under this Award. The Recipient is responsible for ensuring that any/all Recipient institutions and collaborators comply with all requirements and submit relevant documentation, as outlined in sections C – G below, for work being performed under this Award.

C. TREATY COMPLIANCE FOR BIOLOGICAL AND CHEMICAL DEFENSE EFFORTS

The Recipient and any Recipient institution shall conduct all biological and chemical defense research, development, and acquisition projects in compliance with all arms control agreements of the U.S., including the Chemical Weapons Convention (CWC) and the Biological Weapons Convention (BWC). DHS Directive 041-01, *Compliance With, and Implementation of, Arms Control Agreements*, requires all such projects to be systematically evaluated for compliance at inception, prior to funding approval, whenever there is significant project change, and whenever in the course of project execution an issue potentially raises a compliance concern.

1. Requirements for Initial Treaty Compliance Review. To ensure compliance with DHS Directive 041-01, for each new biological and/or chemical defense-related effort (including paper and modeling studies) to be conducted under this Award, **the Recipient must submit the following documentation for compliance review and certification prior to funding approval:** a completed Treaty Compliance Form (TCF), which includes a Project Summary; a BWC Checklist; and/or a CWC Checklist.

2. Requirements for Ongoing Treaty Compliance Review. To ensure ongoing treaty compliance for approved biological and/or chemical defense-related efforts funded through this Award, **the Recipient must submit the following documentation for review and approval prior to any significant project change and/or whenever in the course of project execution an issue potentially raises a compliance concern:** an updated Treaty Compliance Form and an updated Statement of Work detailing the proposed modification. The proposed project modification must receive written approval from CAPO prior to initiation. Examples of project modifications include – but are not limited to—the addition of agents, a change in performer, modifications to the scope of work, and changes to the technical approach.

The Recipient should contact the Treaty Compliance Office (TCO) at treatycompliance@hq.dhs.gov to obtain the TCF template, submit the completed Form, or request additional guidance regarding TCO documentation and review requirements, as applicable to (1) new biological and/or chemical defense-related efforts, or (2) modifications to previously approved efforts. The TCO will review all submitted materials and provide written confirmation of approval to initiate work to the Recipient once the treaty compliance certification process is complete. **The Recipient and any Recipient institution shall not initiate any new activities, or execute modifications to approved activities, until receipt of this written confirmation.**

D. REGULATORY COMPLIANCE FOR BIOLOGICAL LABORATORY WORK

The Recipient and any Recipient institution shall conduct all biological laboratory work in compliance with applicable federal regulations; the latest edition of the CDC/NIH Biosafety in Microbiological and Biomedical Laboratories; DHS Directive 066-02, Biosafety; and any local institutional policies that may apply for Recipient institution facilities performing work under this Award. The Regulatory Compliance Office (RCO) will review the submitted Treaty Compliance Form (TCF) for planned work under this Award to determine the applicability of the requirements outlined in this section. **The Recipient must contact the RCO at STregulatorycompliance@hq.dhs.gov for guidance on the requirements, and then submit all required documentation based on RCO guidance, prior to the initiation of any biological laboratory work under this Award.**

1. Requirements for All Biological Laboratory Work. Biological laboratory work includes laboratory activities involving: (1) recombinant DNA or 'rDNA'; (2) Biological Select Agents and Toxins or 'BSAT'; or (3) biological agents, toxins, or other biological materials that are non-rDNA and non-BSAT. **Each Recipient and any Recipient institution to be conducting biological laboratory work under this Award must submit copies of the following documentation, as required by the RCO after review of the TCF(s), for review prior to the initiation of such work:**

- a. Research protocol(s), research or project plan(s), or other detailed description of the biological laboratory work to be conducted;
- b. Documentation of project-specific biosafety review for biological laboratory work subject to such review in accordance with institutional policy;
- c. Institutional or laboratory biosafety manual (may be a related plan or program manual) for each facility/laboratory to be involved in the biological laboratory work;

- d. Biosafety training program description (should be provided as available in existing policies, plans, and/or manuals for all relevant facilities/laboratories where work is conducted;
- e. Documentation of the most recent safety/biosafety inspection(s) for each facility/laboratory where the biological laboratory work will be conducted;
- f. Exposure Control Plan, as applicable;
- g. Documentation from the most recent Occupational Safety and Health Administration (OSHA) or State Occupational Safety and Health Agency inspection report; a copy of the OSHA Form 300 Summary of Work Related Injuries and Illnesses or equivalent, for the most recent calendar year; and documentation of any OSHA citations or notices of violation received in the past five years; and
- h. Documentation from the most recent U.S. Department of Transportation (DOT) inspection report; and documentation of any DOT citations or notices of violation received in the past five years.

2. Requirements for Research Involving Recombinant DNA (rDNA). Laboratory activities involving rDNA research are defined by the NIH Guidelines for Research Involving Recombinant DNA Molecules, "NIH Guidelines". Each Recipient and any Recipient institution shall conduct all rDNA work in compliance with the NIH Guidelines. In addition to the documentation referenced in Section B.1 above, **each facility conducting research activities involving rDNA under this Award must submit copies of the following documentation to the RCO for review prior to the initiation of such activities:**

- a. Institutional Biosafety Committee (IBC) Charter, and/or other available documentation of IBC policies and procedures;
- b. Most recent Office of Biotechnology Activities (OBA) acknowledgement letter of the annual IBC Report;
- c. IBC-approved rDNA research protocol(s); and
- d. Documentation of final IBC approval for each rDNA research protocol and all subsequent renewals and amendments as they occur.

3. Requirements for Activities Involving Biological Select Agents and Toxins (BSAT). **Planned activities involving the possession transfer, and/or use of BSAT must be reviewed by the RCO prior to initiation.** This requirement also applies to activities involving select toxins that fall below the Permissible Toxin Limits, both at facilities registered with the National Select Agent Program and at unregistered facilities. Each Recipient and any Recipient institution shall conduct all BSAT work in compliance with all applicable regulations, including 42 CFR § 73, 7 CFR § 331, and 9 CFR § 121, related entity- and laboratory-specific policies and procedures, and DHS Directive 026-03, *Select Agent and Toxin Security*. **In addition to the documentation referenced in Section B.1 above, each facility conducting activities involving BSAT under this Award must submit copies of the following documentation to the RCO for review prior to the initiation of such activities:**

- a. Current APHIS/CDC Certificate of Registration;
- b. Most recent APHIS/CDC inspection report(s), response(s), and attachment(s);
- c. Current versions of the Biosafety, Security, and Incident Response Plans required and reviewed under the Select Agent Regulations; and

d. Documentation of the most recent annual BSAT facility inspection, as required of the Responsible Official under the Select Agent Regulations.

The Recipient should contact the CAPO at STregulatorycompliance@hq.dhs.gov to obtain the RCO Documentation Request Checklist, submit documentation, or request more information regarding the DHS RCO documentation and compliance review requirements. The CAPO will provide written confirmation of receipt of all required documentation to the designated Point(s) of Contact. The CAPO will evaluate the submitted materials, along with available documentation from any previous reviews for related work at the Recipient and Recipient institution. Additional documentation may be required in some cases and must be submitted upon request. The CAPO will review all submitted materials and provide written confirmation to the Recipient once all requirements have been met.

CAPO review of submitted materials may determine the need for further compliance review requirements, which may include documentation-based and on-site components. The Recipient, and any Recipient institutions conducting biological laboratory work under this Award, must also comply with ongoing CAPO compliance assurance and review requirements, which may include but are not limited to initial and periodic documentation requests, program reviews, site visits, and facility inspections.

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing biosafety or BSAT program issues as identified by the APHIS/CDC National Select Agent Program, other compliance oversight authorities, or institutional-level reviews (e.g., IBC or equivalent, laboratory safety/biosafety inspections); (2) any suspension or revocation of the APHIS/CDC Certificate of Registration; and (3) any for-cause suspension or termination of biological, rDNA, or BSAT activities at the laboratories/facilities where DHS-sponsored work is conducted.

Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to applicable DHS requirements for biological laboratory activities. All entities involved in activities under this Award must comply with applicable national and regional/local regulations, and standards and guidelines equivalent to those described for U.S. institutions (e.g., BMBL and NIH Guidelines). The Recipient must provide CAPO documentation sufficient to illustrate this compliance. The CAPO will evaluate compliance measures for these institutions on a case-by-case basis. The Recipient must not initiate work nor provide funds for the conduct of biological laboratory work under this Award without CAPO's formal written approval.

E. RESEARCH INVOLVING ANIMALS

The Recipient and any Recipient institution shall conduct all research involving animals under this Award in compliance with the requirements set forth in the Animal Welfare Act of 1966 (P.L. 89-544), as amended, and the associated regulations in 9 C.F.R., Chapter 1, Subchapter A; the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (which adopts the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training", 50 FR 20864, May 20, 1985); the National Research Council (NRC) Guide for the Care and Use of Laboratory Animals; the Federation of Animal Science Societies (FASS) Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching; and any additional requirements set forth in the DHS Directive for the Care and Use of Animals in Research (026-01). Each Recipient and any Recipient institution planning to perform research involving animals under this Award must comply with the requirements and submit the documentation outlined in this section.

1. Requirements for Initial Review of Research Involving Animals. Research Involving Animals includes any research, experimentation, biological testing, and other related activities involving live, vertebrate animals, including any training for such activities. Each facility conducting research involving animals under this Award must submit copies of the following documentation to the CAPO for review prior to the initiation of such research:

- a. Institutional Animal Care and Use Committee (IACUC)-approved animal research protocol(s), including documentation of IACUC approval, any protocol amendments, and related approval notifications;
- b. Public Health Service (PHS) Animal Welfare Assurance, including any programmatic amendments, and the most recent NIH Office of Laboratory Animal Welfare (OLAW) approval letter for each Recipient and Recipient institution; OR DHS Animal Welfare Assurance, if the Recipient is not funded by the PHS and does not have a PHS Assurance on file with OLAW. Any affiliated IACUCs must be
- c. Most recent IACUC semiannual program review and facility inspection reports covering all relevant facilities/laboratories involved in DHS-funded work; and
- d. Most recent Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC) inspection report(s) for AAALAC-accredited institution(s) housing and/or performing work involving animals under this Award.

All documentation, as well as any questions or concerns regarding the requirements referenced above, should be submitted to the CAPO at STregulatorycompliance@hq.dhs.gov. Additional documentation may be required in some cases and must be submitted upon request. The CAPO will review all submitted materials and provide written confirmation to the Recipient once all documentation requirements have been met. Upon receipt of this written confirmation, the Recipient may initiate approved animal research projects under this Award, but must address any potential compliance issues or concerns identified by the CAPO. Research involving the use of nonhuman primates or international collaborations involving animal research will require more extensive review prior to approval, and must not begin under this Award without first obtaining a formal certification letter from the CAPO.

The Recipient, as well as any Recipient institution and partner institutions conducting animal research under this Award, shall also comply with ongoing CAPO compliance assurance functions, which may include but are not limited to periodic site visits, program reviews, and facility inspections.

2. Requirements for Ongoing Review of Research Involving Animals. For ongoing animal research

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing noncompliance with animal care and use regulations and policies adopted by DHS (as referenced above); (2) any change in AAALAC accreditation status; (3) any USDA Notice of Violation; and (4) IACUC suspension of any animal research activity conducted under this Award.

Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to all DHS requirements for work involving animals. All entities involved in activities under this Award must comply with applicable national and regional/local regulations, and standards and guidelines equivalent to those described for U.S. institutions (e.g., Title 9, C.F.R, Chapter 1, Subchapter A; Public Health Service Policy on Humane Care and Use of Laboratory Animals; the Guide for the Care and Use of Laboratory Animals; and the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching). The Recipient must provide CAPO documentation sufficient to illustrate this compliance. The CAPO will evaluate compliance measures for these institutions on a case-by-case basis to determine their sufficiency. The Recipient must not initiate nor provide funds for the conduct of work involving animals at foreign institutions under this Award without formal written approval from the CAPO.

F. REGULATORY REQUIREMENTS FOR LIFE SCIENCES DUAL USE RESEARCH OF CONCERN (DURC)

The Recipient and any Recipient institutions shall conduct all research involving agents and toxins identified in sections III.1 and 6.2.1 of the USG Policy for Oversight of Dual Use Research of Concern and USG Policy for the Institutional Oversight of Dual Use Research of Concern, respectively, in accordance with both policies referenced above and in accordance with any additional requirements set forth in related DHS policies and instructions. Each Recipient and any Recipient institutions planning to perform

1. Requirements for Research Using DURC Agents and Toxins. To ensure compliance with the USG DURC Policies, each facility conducting research involving the agents and toxins identified in sections III.1 and 6.2.1 of the USG DURC Policies under this Award must submit the following documentation for compliance review by CAPO prior to the initiation of such activities.

- a. Institutional Review Entity (IRE) charter, and/or other available documentation of IRE policies and procedures, to include the contact information for the Institutional Contact for DURC (ICDUR);
- b. Institution's project-specific risk mitigation plan, as applicable;
- c. DURC training or education program description;

- d. Formal annual assurance of compliance with the USG Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern;
- e. A completed iDURC form and a Statement of Work.

2. Required Notifications to DHS:

- a. Within 30 calendar days of initial and periodic reviews of institutional review of research with DURC potential, notify CAPO of the results, including whether the research does or does not meet the DURC definition.

3. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient is performing work with agents or toxins identified in sections III.1 of the USG Policy for Oversight of Dual Use Research of Concern and 6.2.1 of the USG Policy for the Institutional Oversight of Dual Use Research of Concern.

The Recipient should contact CAPO at STregulatorycompliance@hq.dhs.gov to submit documentation or

In order to meet the reporting requirements set forth in section IV.2 of the 2012 USG Policy for Oversight of Life Sciences Dual Use Research of Concern (the biannual DURC Data Call), the Recipient and any Recipient institution shall submit documentation regarding all active, planned or recently completed (within twelve months of the submission) unclassified intramural or extramural activities on Federally-funded or conducted life science research projects biannually on the first Monday in May and November. The Recipient should contact

CAPO at STregulatorycompliance@hq.dhs.gov to submit documentation. Documentation should include an update on all listed activities, including status, all agents or toxins incorporated by strain or surrogate name, performers, contract information, and sites of activities. Documentation should also include any changes to existing or completed projects since the most recent submission, including—but not limited to—the addition of agents, a change in performer, modifications to the scope of work, and/or changes to the technical approach. A supplemental report detailing all work involving low pathogenic avian influenza virus H7N9 (LPAI H7N9) and Middle East Respiratory Syndrome Coronavirus (MERS-CoV).

Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to the iDURC policy. The Recipient must provide CAPO documentation sufficient to illustrate this compliance. CAPO will evaluate compliance measures for these institutions on a case-by-case basis. The Recipient must not initiate work nor provide funds for the conduct of biological laboratory work under this Award without CAPO's formal written approval.

G. REGULATORY REQUIREMENTS FOR RESEARCH INVOLVING HUMAN SUBJECTS

The Recipient and any Recipient institutions shall conduct all Research Involving Human Subjects in compliance with the requirements set forth in 45 C.F.R. § 46, Subparts A-D, DHS Directive 026-04, Protection of Human Subjects, and any related DHS policies and instructions prior to initiating any work with human subjects under this Award. Each Recipient and any Recipient institutions planning to perform research involving human subjects under this Award must submit the documentation outlined in this section for CAPO review.

1. Requirements for Research Involving Human Subjects. Each facility conducting work involving human subjects under this Award is required to have a project-specific Certification of Compliance letter issued by the CAPO. Each Recipient must submit the following documentation to the CAPO for compliance review and certification prior to initiating research involving human subjects under this Award:

- a. Research protocol, as approved by an Institutional Review Board (IRB), for any human subjects research work to be conducted under this Award;
- b. IRB approval letter or notification of exemption (see additional information below on exemption determinations), for any human subjects research work to be conducted under this Award;
- c. IRB-approved informed consent document(s) (templates) or IRB waiver of informed consent for projects involving human subjects research under this Award; and
- d. Federal-wide Assurance (FWA) number from the HHS Office for Human Research Protections (OHRP), or documentation of other relevant assurance, for all Recipient institutions (including Sub-recipients) involved in human subjects research under this Award.

2. Exemptions for Research Involving Human Subjects. Exemption determinations for human subject research to be conducted under this Award should only be made by authorized representatives of (1) an OHRP-registered IRB, or equivalent, or (2) the CAPO. Exemption determinations made by an OHRP-registered IRB, or equivalent, should be submitted to the CAPO for review and record-keeping. Program managers, principal investigators, research staff, and other DHS or institutional personnel should not independently make exemption determinations in the absence of an IRB or CAPO review. DHS program managers (or institutions conducting human subjects' research under this Award) seeking an exemption determination from the CAPO should submit a request to STregulatorycompliance@hq.dhs.gov that includes the following:

- a. Research protocol or detailed description of planned activities to be conducted under this Award.
- b. Identification of the exemption category that applies to the project(s) to be conducted under this Award and explanation of why the proposed research meets the requirements for that category of

All documentation, as well as any questions or concerns regarding the requirements referenced above, should be submitted to the CAPO at STregulatorycompliance@hq.dhs.gov. The submitted documentation will be retained by the CAPO and used to conduct a regulatory compliance assessment. Additional documentation may be required in some cases to complete this assessment. The Recipient must provide this documentation upon request, and address in writing any compliance issues or concerns raised by the CAPO before a certification letter is issued and participant enrollment can begin under this Award. The CAPO will review all submitted materials and provide written confirmation to the Recipient once all documentation requirements have been met.

The Recipient and any Recipient institution shall submit updated documentation regarding ongoing research involving human subjects, as available and **prior to the expiration of previous approvals**. Such documentation includes protocol modifications, IRB renewals for ongoing research protocols (“Continuing Reviews”), and notifications of study completion.

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing noncompliance with human subjects research regulations and policies adopted by DHS (as referenced above); and (2) suspension, termination, or revocation of IRB approval of any human subjects research activities conducted under this Award.

Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to all DHS and CAPO requirements for research involving human subjects. All entities involved in activities under this Award must comply with applicable national and regional/local regulations, and standards and guidelines equivalent to those described for U.S. institutions (e.g., 45 C.F.R. § 46, including all Subparts, as relevant). The CAPO will evaluate compliance measures for these institutions on a case-by-case basis to determine their sufficiency. The Recipient must not initiate nor provide funds for the conduct of work involving human subjects at foreign institutions under this Contract without formal written approval from the CAPO.

H. COMPLIANCE WITH U.S. EXPORT CONTROLS

Activities performed by the Recipient and any Recipient institution under this Award may or may not be subject to U.S. export control regulations. The Recipient and any Recipient institution shall conduct all such activities, to include any and all DHS-funded research and development, acquisitions, and collaborations in full compliance with U.S. export controls—to include the Export Administration Regulations (EAR), the International Traffic in Arms Regulations (ITAR), and the Office of Foreign Assets Control (OFAC) Regulations. The Recipient and any Recipient institution will ensure that all legal requirements for compliance with U.S. export controls are met prior to transferring commodities, technologies, technical data, or other controlled information to a non-U.S. person or entity. Upon DHS request, the Recipient and any Recipient institution must provide to CAPO documentation and any other information necessary to determine satisfaction of this requirement.

All documentation, as well as any questions or concerns regarding export controls, should be submitted to the CAPO at exportcontrols@hq.dhs.gov.

I. CONTROLLED UNCLASSIFIED INFORMATION

The parties understand that information and materials provided pursuant to or resulting from this Award may be export controlled, sensitive, for official use only, or otherwise protected by law, executive order or regulation. The Recipient is responsible for compliance with all applicable laws and regulations. Nothing in this Award shall be construed to permit any disclosure in violation of those restrictions.

J. PATENT RIGHTS AND DATA RIGHTS

Patent rights.

The Recipient is subject to applicable regulations governing patents and inventions, including government-wide regulations issued by the Department of Commerce at 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements." The clause at 37 CFR 401.14 is incorporated by reference herein. All reports of subject inventions made under this Award should be submitted to DHS using the Interagency Edison system website at <http://@hq.dhs.gov>.

Data rights.

1. **General Requirements.** The Recipient grants the Government a royalty free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for Government purposes in:

- a. Any data that is first produced under this Award and provided to the Government;
- b. Any data owned by third parties that is incorporated in data provided to the Government under this Award; or
- c. Any data requested in paragraph 2 below, if incorporated in the Award.

"Data" means recorded information, regardless of form or the media on which it may be recorded.

2. **Additional requirement for this Award.**

a. **Requirement:** If the Government believes that it needs additional research data that was produced under this Award, the Government may request the research data and the Recipient agrees to provide the research data within a reasonable time.

b. **Applicability:** The requirement in paragraph 2.a of this section applies to any research data that are:

- i. Produced under this Award, either as a Recipient or sub-recipient;
- ii. Used by the Government in developing an agency action that has the force and effect of law; and
- iii. Published, which occurs either when:

- 1) The research data is published in a peer-reviewed scientific or technical journal; or

2) DHS publicly and officially cites the research data in support of an agency action that has the force and effect of law

c. Definition of "research data:" For the purposes of this section, "research data:"

i. Means the recorded factual material (excluding physical objects, such as laboratory samples) commonly accepted in the scientific community as necessary to validate research findings.

ii. Excludes:

- 1) Preliminary analyses;
- 2) Drafts of scientific papers;
- 3) Plans for future research;
- 4) Peer reviews;
- 5) Communications with colleagues;
- 6) Trade secrets;
- 7) Commercial information;

similar information which is protected under law; and

9) Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.

d. Requirements for sub-awards: The Recipient agrees to include in any sub-award made under this Agreement the requirements of this award term (Patent Rights and Data Rights) and the **DHS Standard Terms and Conditions** award term (Copyright).

K. PROGRAM INCOME

Post-award program income:

In the event program income becomes available to the recipient post-award, it is the recipient's responsibility to notify the DHS Grants Officer to explain how that development occurred, as part of their request for guidance and/or approval. The Grant Officer will review approval requests for program income on a case-by-case basis; approval is not automatic. Consistent with the policy and processes outlined in §200.307, pertinent guidance and options, as determined by the type of recipient and circumstances involved, may be approved by the Grant Officer.

If approval is granted, an award modification will be issued with an explanatory note in the remarks

L. PUBLICATIONS

1. All publications produced as a result of this funding which are submitted for publication in any magazine, journal, or trade paper shall carry the following:

a. Acknowledgement. "This material is based upon work supported by the U.S. Department of Homeland Security under Grant Award Number, {insert Award Number as outlined in Item #4 on Notice of Award cover page}."

b. Disclaimer. “The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the U.S. Department of Homeland Security.”

Recipient agrees to include in any sub-award made under this Agreement the requirements of this award term (Publications).

2. Enhancing Public Access to Publications. “DHS Policy explicitly recognizes and upholds the principles of copyright. Authors and journals can continue to assert copyright in DHS-funded scientific publications, in accordance with current practice. The policy encourages authors to exercise their right to give DHS a copy of their final manuscript or software before publication. While individual copyright arrangements can take many forms, DHS encourages investigators to sign agreements that specifically allow the manuscript or software to be deposited with DHS for public posting or use after journal publication. Institutions and investigators may wish to develop particular contract terms in consultation with their own legal counsel, as appropriate. But, as an example, the kind of language that an author or institution might add to a copyright agreement includes the following: “Journal (or Software recipient) acknowledges that the Author retains the right to provide a final copy of the final manuscript or software application to DHS upon acceptance for Journal publication or thereafter, for public access purposes through DHS’s websites or for public archiving purposes.”

M. SITE VISITS

The DHS, through authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems and to provide such technical assistance as may be required. If any site visit is made by the DHS on the premises of the Recipient, or a contractor under this Award, the Recipient shall provide and shall require its contractors to provide all reasonable facilities and assistance for the safety and convenience of the Government representatives in the performance of their duties. All site visits and evaluations shall be performed in such a manner that will not unduly delay the work.

N. TERMINATION

Either the Recipient or the DHS may terminate this Award by giving written notice to the other party at least thirty (30) calendar days prior to the effective date of the termination. All notices are to be transmitted to the DHS Grants Officer via registered or certified mail, return receipt requested. The Recipient’s authority to incur new costs will be terminated upon arrival of the date of receipt of the letter or the date set forth in the notice. Any costs incurred up to the earlier of the date of the receipt of the notice or the date of termination set forth in the notice will be negotiated for final payment. Closeout of this Award will be commenced and processed pursuant to 2 CFR §200.339.

O. TRAVEL

Travel required in the performance of the duties approved in this Award must comply with 2 CFR § 200.474.

Foreign travel must be approved by DHS in advance and in writing. Requests for foreign travel identifying the traveler, the purpose, the destination, and the estimated travel costs must be submitted to the DHS Grants Officer sixty (60) days prior to the commencement of travel.

P. CLASSIFIED SECURITY CONDITION

1. "Classified national security information," as defined in Executive Order (EO) 12958, as amended, means information that has been determined pursuant to EO 12958 or any predecessor order to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.
2. No funding under this award shall be used to support a contract, sub-award, or other agreement for goods or services that will include access to classified national security information if the award recipient itself has not been approved for and has access to such information.
3. Where an award recipient has been approved for and has access to classified national security information, no funding under this award shall be used to support a contract, sub-award, or other agreement for goods or services that will include access to classified national security information by the contractor, sub-awardee or other entity without prior written approval from the DHS Office of Security, Industrial Security Program Branch (ISPB), or, an appropriate official within the Federal department or agency with whom the classified effort will be performed.
4. Such contracts, sub-awards, or other agreements shall be processed and administered in accordance with the DHS "*Standard Operating Procedures, Classified Contracting by State and Local Entities*," dated July 7, 2008; EOs 12829, 12958, 12968, as amended; the *National Industrial Security Program Operating Manual* (NISPOM); and/or other applicable implementing directives or instructions. All security requirement documents are located at: <http://www.dhs.gov/xopnbiz/grants/index.shtm>
5. Immediately upon determination by the award recipient that funding under this award will be used to support such a contract, sub-award, or other agreement, and prior to execution of any actions to facilitate the acquisition of such a contract, sub-award, or other agreement, the award recipient shall contact ISPB, or the applicable Federal department or agency, for approval and processing instructions.

DHS Office of Security ISPB contact information:

Telephone: 202-447-5346

Email: DD254AdministrativeSecurity@dhs.Gov

Mail: Department of Homeland Security
Office of the Chief Security Officer
ATTN: ASD/Industrial Security Program Branch
Washington, D.C. 20528

Q. GOVERNING PROVISIONS

The following are incorporated into this Award by this reference:

31 CFR 205	Rules and Procedures for Funds Transfers
2 CFR Part 200	Uniform Administrative Requirement, Cost Principles, and Audit Requirements for Federal Awards
Application	Grant Application and Assurances dated 10/21/2019

R. ORDER OF PRECEDENCE

1. 2 C.F.R. Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."
2. The terms and conditions of this Award
3. The Funding Opportunity, DHS-ST-19-106-STC-0001, Securing the Cities Program
4. Application and Assurances dated 10/21/2019, as revised 12/16/2019

This Workspace form is one of the forms you need to complete prior to submitting your Application Package. This form can be completed in its entirety offline using Adobe Reader. You can save your form by clicking the "Save" button and see any errors by clicking the "Check For Errors" button. In-progress and completed forms can be uploaded at any time to Grants.gov using the Workspace feature.

When you open a form, required fields are highlighted in yellow with a red border. Optional fields and completed fields are displayed in white. If you enter invalid or incomplete information in a field, you will receive an error message. Additional instructions and FAQs about the Application Package can be found in the Grants.gov Applicants tab.

OPPORTUNITY & PACKAGE DETAILS:

Opportunity Number:	DN-STC-19-001-064843
Opportunity Title:	FY 19 STC Announcement
Opportunity Package ID:	PKG00254618
CFDA Number:	97.108
CFDA Description:	Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies
Competition ID:	
Competition Title:	
Opening Date:	09/05/2019
Closing Date:	10/21/2019
Agency:	Office of Procurement Operations - Grants Division
Contact Information:	Janet Bailey Grants Specialist E-mail: janet.bailey@hq.dhs.gov Phone: 202-447-0362

APPLICANT & WORKSPACE DETAILS:

Workspace ID:	WS00364331
Application Filing Name:	Bay Area UASI
DUNS:	0703842550000
Organization:	SAN FRANCISCO, CITY & COUNTY OF
Form Name:	SF424 (R & R)
Form Version:	2.0
Requirement:	Mandatory
Download Date/Time:	Oct 25, 2019 10:28:36 AM EDT
Form State:	No Errors

FORM ACTIONS:

**APPLICATION FOR FEDERAL ASSISTANCE
SF 424 (R&R)**

3. DATE RECEIVED BY STATE	State Application Identifier
<input type="text"/>	<input type="text"/>

1. TYPE OF SUBMISSION

Pre-application Application Changed/Corrected Application

4. a. Federal Identifier

b. Agency Routing Identifier

c. Previous Grants.gov Tracking ID

2. DATE SUBMITTED

Applicant Identifier

5. APPLICANT INFORMATION

Organizational DUNS:

Legal Name:

Department: Division:

Street1:

Street2:

City: County / Parish:

State: Province:

Country: ZIP / Postal Code:

Person to be contacted on matters involving this application

Prefix: First Name: Middle Name:

Last Name: Suffix:

Position/Title:

Street1:

Street2:

City: County / Parish:

State: Province:

Country: ZIP / Postal Code:

Phone Number: Fax Number:

Email:

6. EMPLOYER IDENTIFICATION (EIN) or (TIN):

7. TYPE OF APPLICANT:

Other (Specify):

Small Business Organization Type Women Owned Socially and Economically Disadvantaged

8. TYPE OF APPLICATION:

New Resubmission Renewal Continuation Revision

If Revision, mark appropriate box(es).
 A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration
 E. Other (specify):

Is this application being submitted to other agencies? Yes No What other Agencies?

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. PROPOSED PROJECT:

Start Date Ending Date

13. CONGRESSIONAL DISTRICT OF APPLICANT

14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION

Prefix: First Name: Middle Name:

Last Name: Suffix:

Position/Title:

Organization Name:

Department: Division:

Street1:

Street2:

City: County / Parish:

State: Province:

Country: ZIP / Postal Code:

Phone Number: Fax Number:

Email:

15. ESTIMATED PROJECT FUNDING

a. Total Federal Funds Requested	<input type="text" value="7,373,589.00"/>
b. Total Non-Federal Funds	<input type="text" value="0.00"/>
c. Total Federal & Non-Federal Funds	<input type="text" value="7,373,589.00"/>
d. Estimated Program Income	<input type="text" value="0.00"/>

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:
DATE:

b. NO PROGRAM IS NOT COVERED BY E.O. 12372; OR
 PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances * and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

I agree

**The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.*

18. SFLLL (Disclosure of Lobbying Activities) or other Explanatory Documentation

19. Authorized Representative

Prefix: First Name: Middle Name:

Last Name: Suffix:

Position/Title:

Organization:

Department: Division:

Street1:

Street2:

City: County / Parish:

State: Province:

Country: ZIP / Postal Code:

Phone Number: Fax Number:

Email:

Signature of Authorized Representative	Date Signed
<input type="text" value="Completed on submission to Grants.gov"/>	<input type="text" value="Completed on submission to Grants.gov"/>

20. Pre-application

21. Cover Letter Attachment

From: [Peacock, Rebecca \(MYR\)](#)
To: [BOS Legislation, \(BOS\)](#)
Cc: [Kittler, Sophia \(MYR\)](#); [Quetone, Tal \(ADM\)](#); [Landers, Mary \(DEM\)](#); [Bangcaya, Matthew \(MYR\)](#); [Groffenberger, Ashley \(MYR\)](#)
Subject: Mayor -- [Ordinance] -- [Accept and Expend Grant and Amend the Annual Salary Ordinance - Retroactive - Securing the Cities Program Grant – United States Homeland Security - \$2,000,000]
Date: Tuesday, June 9, 2020 4:07:01 PM
Attachments: [A&E DEM Securing the Cities.zip](#)

Attached for introduction to the Board of Supervisors is an **ordinance retroactively authorizing the Department of Emergency Management, as a fiscal agent for the Bay Area Urban Areas Security Initiative, to accept and expend a grant in the amount of \$2,000,000 from the United States Department of Homeland Security for the Securing the Cities Grant Program for the period of March 4, 2020, through October 30, 2020; and amending Ordinance No. 170-19 (Annual Salary Ordinance, File No. 190620 for FYs 2019-2020 and 2020-2021) to provide for the addition of four (4) grant-funded positions, one each in Class 0932 Manager IV, Class 0931 Manager III, Class 1823 Senior Administrative Analyst, and Class 8601 Emergency Services Coordinator I.**

Please let me know if you have any questions.

Rebecca Peacock ([she/they](#))
(415) 554-6982 | Rebecca.Peacock@sfgov.org
Office of Mayor London N. Breed
City & County of San Francisco

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