



# Urban Area Security Initiative (UASI) 2010 Budget Submission Process

## *Miami and Fort Lauderdale Urban Areas*

DRAFT: Based on 2009 DHS Guidance

### Important Dates:

September 1 2009: Approve Budget Allocation Recommendations

September 22-24, 2009: State Working Group Meetings

October 6<sup>th</sup> 2009: Jurisdictions' 2010 UASI Line Item Budgets Due

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## **Background**

The Department of Homeland Security (DHS) provides various grants to enhance preparedness and response capabilities. The Urban Area Security Initiative (UASI) program is intended to enhance the preparedness and response capabilities of high risk urban areas. Guidance provided by DHS directs Urban Area Working Groups (UAWG) to allocate funding and guide the delivery of direct services in support of goals and objectives identified in their Urban Area Homeland Security Strategy.

DHS provides other grants through the State of Florida including the State Homeland Security Grant Program (SHSGP), the Citizen Corps Program, and the Metropolitan Medical Response System (MMRS) grant program. DHS asks that the state, tribal, and local partners work together to synchronize and coordinate the various grant programs.

This guidance document is a DRAFT of a process for 2010 grant cycle. The FY 2010 federal budget and the 2010 DHS grant guidance have yet to be finalized. This budget process has been developed based on 2009 grant guidance and seeks to increase the linkage between the UASI grant budget process and the state and regional processes. Once the 2010 guidance is available, a final 2010 Budget Process document will be provided with updated information about the UASI budget process.

## **2010 UASI Budget Process**

### ***Regional Projects***

The State of Florida's Homeland Security Grant Program (HSGP) process runs somewhat ahead of but concurrent with the UASI funding process. Projects are collected from RDSTF Functional Work Groups (FWGs) in October and the state funding committee meetings are scheduled for November to prioritize projects. The UASIs have historically participated in this process to ensure coordination with State efforts. NOTE: look at most recent state calendar to make sure dates are same

Urban Areas are typically requested to provide budgets to the State in December in advance of a mid-December Domestic Security Oversight Committee (DSOC) meeting. At the funding meetings, regional projects are frequently identified that need UASI support. In past years, UASI funds have been earmarked to provide gap funding for HSGP projects that benefit the region. Due to changes in the 2008 and 2009 grant guidance, which eliminated of the Law Enforcement Terrorism Prevention Program (LETPP) program, UASIs have been asked to fund regional LETPP projects. In 2008, both UASI and State Homeland Security Grant Program (SHSGP) were required to include LETPP-eligible items in their grants to equal at least 25% of the grant budget. The SFUASI were asked to support LETPP items for the region in their budget for 2009 as well.

### ***UASI Urban Areas & Jurisdiction Budget Submittals***

The Fort Lauderdale and Miami UASIs have determined that they will continue to use a consolidated approach to the strategic planning, project management, and budget process. Pending any changes in the 2010 grant guidance, budget submission for 2010 will be handled in the same manner as last year as outlined below:

### ***Capabilities Assessment and Strategy Review***

In accordance with the Southeast Florida Urban Area Homeland Security Strategy, the UASI conducted a capabilities assessment in the fall of 2008. The UASIs also conducted an assessment of the implementation of the Strategy. Strategic monitoring is recommended by DHS for all DHS grantees. Progress toward achieving a "state of preparedness" for each national priority was measured using a ten point scale as described in the Strategy.

The assessment evaluated the Urban Areas using the 37 Target Capabilities contained in the National Preparedness Guidelines. The capabilities assessments was coupled with the identification of long term planning, organization, training, exercise and equipment needs based on selected scenarios contained in the 15 National Planning Scenarios. The findings were evaluated to:

- Ensure consistency with the national planning guidance.
- Identify gaps in plans and organization, training, exercises, and equipment.
- Achieve effectiveness in every aspect of the strategy and related plans.

The capabilities assessment and Strategy review process included active participation of UAWG and RDSTF members. The results of this effort will be used to help the UAWG prioritize projects based on the highest priority Target Capabilities.

### ***Jurisdictions' Budget Submittals***

UASI subgrantee jurisdictions and agencies will be provided an allocation number for use in the grant application process. Each subgrantee is to develop and submit a UASI Project List equal to this allocation. The Project Lists should be in the format provided by the Project Management Office. Project descriptions should be concise yet detailed enough to provide sufficient information to describe the project, include the amount of each project, and identify the sub-recipient or "owner" of the project.

Project Lists are to be submitted in October 2009 to the Urban Area Administrators as described below. The UASI Project Management Office (PMO) will review the requests for allowability and combine them in a consolidated spreadsheet for use in the Investment Justification process.

#### **Fort Lauderdale Urban Area:**

- Named cities and counties, the Broward Sheriff's Office and the Palm Beach Sheriff's Office determine their priorities based on approved allocations and submit a list of projects to the Urban Area Administrator (the City of Miramar).
- All other municipalities within Broward and Palm Beach County are to submit budgets through their respective county. Cities within Broward County submit to Broward County Emergency Management and cities within Palm Beach County submit to Palm Beach Public Safety. Broward County and Palm Beach County will then submit a budget on behalf of County and the non-named cities to the City of Miramar.

#### **Miami Urban Area:**

- Monroe County and the City of Miami and City of Hialeah (named cities) determine their priorities based on approved allocations and submit a list of projects to the Urban Area Administrator (the City of Miami).
- Miami-Dade County submits a list of projects on behalf of the County and the cities within the County (except for Miami and Hialeah) based on the County's allocation. Municipalities within Miami-Dade County are encouraged to submit and/or work through the Miami-Dade Terrorism Advisory Committee and the Domestic Preparedness Strategy process to submit projects.

#### **Regional Projects:**

- The UASIs will utilize the Region's Functional Work Group/RDSTF processes described above to develop regional projects. There is NO separate RDSTF submission to the UASIs.

- The UAWG may identify additional regional projects based on the Urban Area Homeland Security Strategy.
- The Joint UAWG will review and prioritize the regional project list and select projects to include in the UASI budget submission.

### ***Investment Justifications (Grant Application)***

Based on the projects submitted, investment justifications are developed as prescribed by the grant guidance. Historically, these investment justifications are prepared by a combination of Project Management Office staff, UAWG members and staff. In 2008, the UAWG created “Project Management Teams” for each investment. These Teams will be asked to support development of the investments as well as monitor implementation of the investments once approved. The investments are reviewed by the State and then submitted to DHS. DHS typically uses a “peer review” process to review and score these investment justifications for their effectiveness.

As the budget process moves forward other budget processes for homeland security efforts are monitored closely to avoid duplication and ensure consistent project based budgeting priorities. Both the application and the final 2010 budget require concurrence of each Urban Area Work Group. Project lists are to be submitted as described below.

### ***Jurisdictions Submit Project Workbooks***

Once final budget allocations are approved based on the federal award amount, updated project lists must be provided using the same process described above. In addition to the project list, detailed project workbooks must be submitted for each project. Deadlines for submission of the updated Project list and the Project Workbooks will be provided post-award.

The UASI Project Workbook is designed to capture a detailed project description and the individual line items within the project. Line items must be allowable under the grant; for this reason, the form requires an “Authorized Equipment List” (AEL) number for each equipment item. Planning, training and exercise activities should be clearly described and must address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise.

The AEL is available on-line at the Responder Knowledgebase (<http://www2.rkb.mipt.org/>).

## **UASI Expenditures**

The DHS grant guidelines are very specific as to allowable and unallowable expenditures. Guidelines for 2010 are not yet available and the discussion below is based on the 2009 guidelines. No significant changes from the 2009 guidelines are anticipated. The 2010 guidelines will be communicated to jurisdictions and the RDSTF as soon as they are available.

### ***Allowable Program Expenditures***

Solution Area Categories (POETE):

- Planning
- Organizing
- Equipping
- Training
- Exercising

### ***Unauthorized Program Expenditures***

Unauthorized program expenditures include: 1) expenditures for items such as general use software (word processing, spreadsheet, graphics, etc), general use computers and related equipment,

general-use vehicles, licensing fees, weapons systems and ammunition; 2) activities unrelated to the completion and implementation of the UASI Grant Program; 3) other items not in accordance with the Authorized Equipment List (AEL) or previously listed as unallowable costs; 4) construction or renovation of facilities, 5) funding of operational employee salaries.

## **Grant Application and Coordination**

While the 2010 Grant Application Kits have yet to be published, this Budget Process was developed to allow sufficient time to collect projects, review for eligibility and completeness, review priorities and to consider regional projects in a timely manner along with the State HSGP funding process.

The UASI budget process addresses the goals and objectives of the Urban Area Homeland Security Strategy for both Urban Areas as well as the State Strategy. Capability assessment information will be important to utilize in updating the Strategy and in the selection of projects. Based on the 2009 budget process, measurable goals and milestones are required in the Investment Justification applications.

## ***Jurisdiction and Regional Allocation Amounts***

Each Urban Area through the respective UAWG decides on the methodology for the allocation of funds. The allocation to regional projects is confirmed at a joint meeting of both UAWGs after the final DHS award is announced. Using last year's process as a guide, and until more information is available regarding 2010 funding, it is suggested that jurisdictions collect projects that total 110% of their respective award for the 2009 UASI grant.

## ***UAWG Review of Projects***

The UAWG will review the projects submitted and will consider them for inclusion in the 2010 UASI budget. Budgeting of UASI funding will be based on the Urban Area Homeland Security Strategy and capabilities assessment and other tools such as the State's Strategy and Gap Analysis.

Funds will be directed towards the most pressing needs for planning, organizing, equipping, training, and exercising in preparation for potential terrorist attacks. Budget requests will be prioritized based on the goals and objectives contained within that Strategy and the needs within the Urban Area. Budgetary decisions will be made with the following priorities in mind:

- Supports the UASI and State Strategies' Goals and Objectives
- Supports the National Preparedness Goal and the National Priorities
- Improves response capabilities of the metropolitan area and its primary mutual aid partners
- Improves regional homeland security and emergency management planning
- Meets organizational needs for special teams and others
- Meets gaps identified in after action reviews and improvement plans
- Provides equipment that is critical for first responders
- Provides planning, training, or exercises as identified in the UASI/Regional Planning, Training and Exercise Plan
- Promotes area-wide and regional coordination

## **Frequently Asked Questions (FAQs)**

**What is a Project?** A project is an organized set of activities designed to achieve defined objectives resulting in specific, identifiable improvements within a given budget and grant period. Projects are submitted in the Project List format which includes a descriptive title for each project. Descriptions should include an action word (see example). Product names, models or vendors should not be included.



Completed Detailed Project Templates are to be sent to:  
Peter Smalley, UASI Project Management Office  
peter.smalley@allhandsconsulting.com

**How does a jurisdiction identify strategic goals and objectives?** A strategic goal is a target that the UAWG wants to achieve regarding an improved level of Homeland Security capability. A strategic objective is a statement of desired outcome or achievement that supports a goal. In developing projects, jurisdictions are to consider the strategic goals and objectives from the Southeast Florida UASI Strategy. The Strategy is available on the UASI Project web site ([www.sfuasi.us](http://www.sfuasi.us)).

## What are the National Preparedness Priorities and Target Capabilities?

<b>OVERARCHING PRIORITIES</b>	<b>TARGET CAPABILITIES</b>
Implement the National Incident Management System and National Response Plan	Applies to all 37 capabilities
Expanded Regional Collaboration	Applies to all 37 capabilities
Implement the National Infrastructure Protection Plan	Critical Infrastructure Protection Food And Agriculture Safety And Defense Information Collection And Threat Recognition Information Sharing And Collaboration Intelligence Fusion And Analysis Risk Analysis
<b>CAPABILITY-SPECIFIC PRIORITIES</b>	<b>TARGET CAPABILITIES</b>
Strengthen information sharing and collaboration capabilities	Information Sharing And Collaboration Law Enforcement Investigations and Operations
Strengthen interoperable communications capabilities	Interoperable Communications
Strengthen CBRNE detection, response, and decontamination capabilities	CBRNE Detection Explosive Device Detection And Response Operations WMD/Hazardous Materials Response And Decontamination
Strengthen medical surge and mass prophylaxis capabilities	Mass Prophylaxis Medical Surge
Strengthen emergency operations planning and citizen protection capabilities	Planning Community Preparedness and Participation Emergency Operations Center Management Citizen Evacuation and Shelter-In-Place Emergency Public Information and Warning

## Attachment One: Draft Budget Timetable

Month	UASI Jurisdiction-Related Tasks	RDSTF Regional/State Projects Tasks
Sept 09	<ul style="list-style-type: none"> <li>○ Jurisdictions begin to develop projects</li> <li>○ UAWG reviews budget process, determine allocations, review Strategy revision and evaluation process</li> <li>○ Begin work to capabilities assessment; review Strategy</li> <li>○ Review MSA Risk Data</li> </ul>	<ul style="list-style-type: none"> <li>○ RDSTF Functional Work Groups regional projects developed (June and July)</li> <li>○ Funding Committee meetings as needed</li> <li>○ <b>SWG Committee meetings Sept. 22-24, 2009 (Tentative)</b></li> </ul>
Oct 09	<ul style="list-style-type: none"> <li>○ Federal appropriation Oct. 1 followed by DHS risk based allocations</li> <li>○ <b>Jurisdictions submit Project Line Item list to POC by Oct. 6<sup>th</sup> 2009 (date to be provided)</b></li> <li>○ UAWGs meet Oct. 6<sup>th</sup> to review Strategy evaluation and revisions, and confirm priorities and Strategy</li> <li>○ Revised Strategy and capabilities assessment published as guide for jurisdictions in budget decision</li> </ul>	<ul style="list-style-type: none"> <li>○ Peer Review Representatives Identified by October 3<sup>rd</sup>.</li> <li>○ Funding Committee meetings as needed</li> <li>○ <b>Funding Committee Project Templates due to State Oct. 12, 2009</b></li> <li>○ <b>Project Templates sent to Peer Reviewers and Voting Delegates Oct. 21, 2009</b></li> <li>○ <b>DSOC Meeting Oct. 21, 2009 (Tentative)</b></li> </ul>
Nov 09	<ul style="list-style-type: none"> <li>○ UASI 2010 grant guidance due to be released by DHS</li> <li>○ PMO compiles budget line items into single spreadsheet</li> <li>○ Joint UAWG to approve budget submittal (jurisdictions and regional list)</li> </ul>	<ul style="list-style-type: none"> <li>○ <b>Project Prioritization Meeting Nov. 4-6, 2009</b></li> <li>○ FDLE provides approved Region 7 projects list to UAWGs</li> <li>○ SWG Exec. Board reviews project list including UASIs Nov. 6, 2009</li> </ul>
Dec 09	<ul style="list-style-type: none"> <li>○ UAWG finalizes Strategy</li> <li>○ UAWG review FWG projects; must prioritize regional projects for approval prior to Funding Conference</li> <li>○ UAWG review final SWG list and remaining FWG list</li> <li>○ Prepare final line item budget for <b>submission by Dec. XX 2009</b></li> </ul>	<ul style="list-style-type: none"> <li>○ <b>Budget Request Due from UASIs, MMRS, Citizen Corps and Transit to State on Dec. XX 2009 (pending specific date)</b></li> <li>○ <b>DSOC meeting to approve 2010 budget</b></li> <li>○</li> </ul>
Jan 2010	<ul style="list-style-type: none"> <li>○ Final jurisdiction project templates due to PMO</li> <li>○ Revised Strategy submitted to State &amp; DHS</li> <li>○ Workgroup begin work on Investment Justifications</li> </ul>	<ul style="list-style-type: none"> <li>○ Funding Request to Governor's Office/Legislature</li> </ul>

Month	UASI Jurisdiction-Related Tasks	RDSTF Regional/State Projects Tasks
Feb 2010	<ul style="list-style-type: none"> <li>○ UAWGs approve Investment Justifications</li> <li>○ Draft Investment Justification to State for preview</li> </ul>	<ul style="list-style-type: none"> <li>○ State reviews Investment Justifications</li> </ul>
Mar 2010	<ul style="list-style-type: none"> <li>○ Investment Justification due to DHS</li> </ul>	<ul style="list-style-type: none"> <li>○ Application due to DHS (tentative)</li> </ul>
Apr 2010	<ul style="list-style-type: none"> <li>○ State submits all UASI Investment Justifications to DHS</li> <li>○ DHS Peer Review Process</li> </ul>	<ul style="list-style-type: none"> <li>○ State submits SHSP Investment Justifications to DHS</li> <li>○ DHS Peer Review Process</li> </ul>
May 2010	<ul style="list-style-type: none"> <li>○ <b>Budget Applications due to DHS</b> (Tentative, depends on when guidance comes out.)</li> </ul>	<ul style="list-style-type: none"> <li>○ <b>Budget Applications due to DHS</b> (Tentative, depends on when guidance comes out.)</li> </ul>
Jun 2010	<ul style="list-style-type: none"> <li>○</li> </ul>	<ul style="list-style-type: none"> <li>○</li> </ul>
Jul 2010	<ul style="list-style-type: none"> <li>○ DHS issues final award amounts</li> </ul>	<ul style="list-style-type: none"> <li>○ DHS issues final award amounts</li> </ul>
Aug 2010	<ul style="list-style-type: none"> <li>○ Rework final jurisdiction line items per award</li> <li>○ Review regional list per award Final line items to state for Contract</li> <li>○ Submit Detailed Project Workbooks per award by end of August 2010</li> </ul>	<ul style="list-style-type: none"> <li>○ State funding conference to finalize budget based on award</li> <li>○ State Issues Grant Contracts</li> </ul>

## Attachment Two: 2010 Allocations

2010 SFUASI Initial Planning Allocations	Pct.	2010 Est. Award (110%)
<b>Fort Lauderdale UASI</b>		\$ 6,669,795
Less State Management and Administration	3.00%	\$ 200,094
<b>Balance Available</b>	<b>97.00%</b>	<b>\$ 6,469,701</b>
<b>Available to Budget</b>		<b>\$ 6,469,701</b>
<b>Regional Projects</b>	20.00%	\$ 1,293,940
UASI Management and Administration	3.00%	\$ 194,091
<b>Subtotal</b>	<b>23.00%</b>	<b>\$ 1,488,031</b>
Broward	7.33%	\$ 474,385
Palm Beach	7.36%	\$ 476,051
Fort Lauderdale	7.14%	\$ 461,693
Hollywood	6.72%	\$ 434,633
Sunrise	7.25%	\$ 468,831
Pembroke Pines	6.66%	\$ 430,660
Miramar	6.63%	\$ 429,145
PBSO	7.36%	\$ 476,051
BSO	7.33%	\$ 474,385
Miami Gardens	6.60%	\$ 427,295
Coral Springs	6.62%	\$ 428,540
<b>Subtotal</b>	<b>77.00%</b>	<b>\$ 4,981,670</b>
<b>Totals</b>	<b>100.00%</b>	<b>\$ 6,469,701</b>
<b>Miami UASI</b>		<b>\$ 12,143,615</b>
Less State Management and Administration	3.00%	\$ 364,304
<b>Balance Available</b>	<b>97.00%</b>	<b>\$ 11,779,312</b>
<b>UASI Funding Awarded</b>		<b>\$ 11,779,312</b>
<b>Regional Projects</b>	20.0%	\$ 2,355,862
UASI Management and Administration	3.00%	\$ 353,379
<b>Subtotal</b>	<b>23.00%</b>	<b>\$ 2,709,242</b>
Miami	28.11%	\$ 3,311,089
Miami Dade	26.60%	\$ 3,132,761
Miami Beach	2.93%	\$ 344,778
Coral Gables	1.92%	\$ 225,883
Key Biscayne	0.49%	\$ 58,215
Hialeah	14.03%	\$ 1,652,559
Monroe	2.93%	\$ 344,785
<b>Subtotal</b>	<b>77.00%</b>	<b>\$ 9,070,070</b>
<b>Totals</b>	<b>100.00%</b>	<b>\$ 11,779,312</b>
<b>Total SFUASI</b>		<b>\$ 18,249,013</b>
<b>Regional Projects</b>	<b>20%</b>	<b>\$ 3,649,803</b>
<p>Note: The state withholds 3% of the award for state M&amp;A. Therefore, the total amount available for local and regional use is 97% of the award. Percentages for regional and jurisdiction allocations are based on the balance available. The relative percentage share remain unchanged form previous allocations.</p>		