

NCR Policies for Regional UASI Grant Projects

1. Purpose

These policies reflect the common shared principles of the National Capital Region and are intended to provide common rules of the road to guide the development, selection, implementation, and sustainment of grant funded projects in the NCR. These policies govern the NCR Urban Area Security Initiative (UASI) grant process.

2. Scope

The following policies set forth by the Senior Policy Group (SPG) and Chief Administrative Officers Homeland Security Executive Committee (CAO-HSEC) shall apply to all projects funded through the regional-share of the UASI grant for the NCR. These policies reflect the common principles of the NCR. The SPG and CAO-HSEC look for innovative ways to achieve these ends and will periodically update these policies based on best practices and lessons learned as well as changing risk and hazard profiles. The full policy document will be reviewed at least once annually in June by the SPG in coordination with the CAO-HSEC. The NCR Policies incorporate by reference the State Administrative Agent's (SAA) Standard Operating Procedures and Sub-Grantee Handbook based on best practices and lessons learned. (These documents are incorporated as Annexes).

3. Personnel Projects

3.1. Regional capability. UASI projects that fund staff must produce deliverables that build or connect to capabilities identified in the NCR Homeland Security Strategic Plan and relevant Investment Plan(s). These deliverables will be evaluated according to performance measures established by the SAA during the course of the project. These deliverables may be local in nature but must support a regional capability as set out in the Strategic Plan. A local capability is often required before we can build and achieve a regional capability. For example, local plans are often needed before a regional plan can be developed. All projects should be structured so that regional objectives are reached.

3.2. Promoting regional capabilities. There are many ways to hire and manage personnel to achieve needed capabilities in a cost-effective manner. These hiring methods include but are not limited to:

- Use of a common employer or contract to hire all personnel needed to complete a project for the region.
- Use of shared personnel that work on behalf of multiple agencies or jurisdictions.
- Contractors or employees who are hired and managed by individual jurisdictions or agencies but required to provide a minimum level of effort to regional products or deliverables.

There is no requirement or guarantee that each locality or agency will receive a separate personnel position for a given project.

3.2.1. Hiring and management method. All personnel projects must identify and justify the hiring method to be used in their project proposal. The proposal shall propose a hiring method that provides for the strongest project management to accomplish the deliverables in a cost-effective manner. The hiring method must be evaluated and approved by the SAA prior to inclusion in the UASI grant application.

3.3. Transparency & accountability: List of deliverables. All personnel projects shall identify the specific deliverable(s) and milestones to be achieved. This list shall be forwarded to the SAA prior to inclusion in the UASI grant application. The SPG and the CAO-HSEC shall concur in this list before a sub-grant is issued for the project. The products or deliverables shall be incorporated into the Project Management Plan(s) and Investment Plans, and any contracts or MOUs executed with UASI funds. Progress will be tracked by the SAA through quarterly progress reports. Failure to produce specific milestones as indicated in the project management plan and specified in the quarterly reports can result in the withdrawal of funding.

3.3.1. Amendment of list of deliverables. This list may be amended with the concurrence of the SAA and the CAO-HSEC.

3.4. Dashboard: Progress in developing the product or deliverables shall be reported through a dashboard in the quarterly report provided to the SAA by project managers.

3.5. Sustainment & Personnel: Relevant sections of Section 4.0 Sustainment apply to personnel projects.

3.6. Sunset: All personnel projects shall be subject to a sunset review at least every two years. Projects shall be assessed for need, benefit, cost, value, and efficiency. The review may result in the renewal of a project, modification of a project, or the phase-out of a project. In September, the SPG and CAO-HSEC will hold a session to evaluate the projects that are up for a sunset review.

3.6.1. Considerations. Reviews will include a consideration of these questions:

- What was the intended goal, outcome, or capability to be developed through the project?
- Does the project promote collaboration and multi-jurisdictional partnerships to address capabilities?
- Did the project produce its stated deliverables?
- Do the deliverables achieve the capability described in the project management plan?
- What gaps remain and what capabilities are still needed in the future?
- Does the region still need the same level of personnel effort to achieve or sustain the capability?
- Does the current NCR risk profile still support the need for the capability?
- Can the same provision of services be delivered in an alternative and more cost-effective manner?
- Is the nature of the capability more appropriately sustained by the state or locality rather than through the use of regional funds?

4. Sustainment

4.1. Definition: Sustainment includes all costs and funds related to payment of fees for such things as personnel contracts, maintenance and service contracts, licensing fees, subscription services, monthly recurring fees, replacement costs of equipment including the upgrade of equipment, and the continuation of a capability.

4.2. Budget data requirements. As with all other projects, all sustainment projects must include specified budgetary data in their project proposal. (See Annex A for the project proposal template and the DHS definitions.) The budget must differentiate between those elements of the project which maintain the current capability and, if relevant, those designed for an upgrade or expansion of a project. Project proposals not containing this data shall not be considered by the SPG and CAO-HSEC for inclusion in UASI grant applications.

4.3. Cost-sharing. Projects whether new or sustainment (continuation, maintenance, upgrade, replacement, refresh, or enhancement) should provide concrete examples and a long term plan on how cost-sharing with the localities will be developed once the project has been implemented. This should describe the approach the project will take to determining the extent to which localities should bear the cost of sustainment for both maintenance and service contracts as well as for major system upgrades or refreshes.

4.4. Regional efficiencies. All projects proposing new equipment or replacement or upgrade of equipment shall investigate the feasibility of a regional cache as a means for making the equipment available throughout the region. If no cache or regional team approach is provided, the investment plan and resulting project proposal must indicate why this is not feasible or is more costly than provision of equipment to each jurisdiction.

4.5. Assessment of requests. Sustainment projects will not be given preference over new investment proposals to determine their relative priority for funding. Requests will be assessed according to their feasibility and their relevance in achieving regional capabilities in the NCR strategic plan.

4.5.1. Assess budget data. Assess the fiscal data and value of sustainment requests based on current risks to the NCR in comparison with other proposed investments.

4.5.2. Consideration of alternatives. All sustainment requests shall be considered in light of potential alternatives that would increase the cost efficiency or enhance the effectiveness of the project.

4.6. Sunset: All projects shall be subject to a sunset review **every two years**. Projects shall be assessed for need, benefit, cost, value, and efficiency.

4.6.1. Considerations. Reviews will include a consideration of these questions:

- What was the intended goal, outcome, or capability to be developed through the project?
- Does the project promote collaboration and multi-jurisdictional partnerships to address capabilities?
- Did the project produce its stated deliverables?
- Do the deliverables achieve the capability identified in the Project Management Plan?
- What gaps remain and what outcomes or capabilities are still needed in the future?

- Does the region still need the same level of investment to achieve or sustain the capability?
- Does the current NCR risk profile still support the need for the capability?
- Can the same capability be delivered in an alternative and more cost-effective manner?
- Can the same capability be provided at a lower cost by another company or competitor?
- Is the nature of the capability more appropriately sustained by the state or locality rather than through the use of regional funds?
- What are the consequences to local and regional preparedness if the project does not receive continued grant funding?

5. **Enhancement and Expansion**

5.1. Definition. Expansion projects include those which expand the scope or geographic coverage of a project. Enhancement projects are those which upgrade the equipment or software or services provided by a previous project. Enhancement and expansion projects are often combined with sustainment.

5.2. Incorporation of Sustainment Policies to Enhancement and Expansion. Relevant sections of Section 4.0 Sustainment apply to Enhancement and Expansion projects.

6. **Reprogramming Requests and Changes to Projects**

6.1. Changes to project sub-grants. Any changes to a project sub-grant that equals more than 10 per cent of the total sub-grant requires written approval from the SAA. Requests to alter the amount of funding to a sub-grant must be made in writing to the SAA.

6.2. No shifting of UASI funds from one project to another. As indicated in Annex B, SAA Standard Operating Procedures, project managers may not shift UASI funding from one project to another without written approval from the SAA.

6.3. Effect on state-share funds. Shifting of funds from one state-share sub-grant also requires express written approval from the SAA.

6.4. Requests for Reprogramming Funds. Any requests for reprogramming funds of existing UASI funds for current projects or new projects are subject to all relevant clauses of Sections 3 – 5.

7. **Regional Strategic Alignment**

7.1. Alignment with the NCR Strategic Plan. Funding must support the goals, objectives, and initiatives of the NCR Strategic Plan. All proposals must align with and support capabilities identified in the NCR Homeland Security Strategic Plan and relevant Investment Plan(s).

7.2. Impact on regional capabilities. A project may address a need in an individual jurisdiction or group of jurisdictions based on impact on overall regional capability.

8. Eligibility to participate in UASI Grants

8.1. Eligibility for award of funds. As noted in the Federal Emergency Management Administration's Fiscal Year 2010 Homeland Security Grant Program Guidance, the SAA may award funds to "local units of government, combinations of local units, or other specific groups or organizations" within the designated urban area region.

8.1.1. One time changes in eligibility. The grant guidance for a given grant program and year may expand the eligibility for awards to areas outside the NCR under specific conditions. Any special eligibility granted in one grant program and year does not guarantee eligibility for funding in other grant programs or grant years. Refer to the SAA for specific questions about eligibility in individual grant years.

8.1.2. Eligibility to submit a project proposal. A project proposal may be submitted by local or state governmental entities or non-profit entities. Project proposals should be vetted by appropriate R-ESFs and RPWGs before being considered for UASI funding. A proposer of any project proposal not vetted by an appropriate R-ESF or RPWG must provide in writing to the SAA a compelling reason that the proposal was not vetted in order to be considered for UASI funding by the SPG and CAO-HSEC.

8.2. Statutory definition of the National Capital Region. The Federal Emergency Management Agency adopts the statutory definition of the National Capital Region from the National Defense Authorization Act for Fiscal Year 1991. The National Capital Region "means the geographic area located within the boundaries of (A) The District of Columbia, (B) Montgomery and Prince Georges Counties in the State of Maryland, (C) Arlington, Fairfax, Loudoun, and Prince William Counties and the City of Alexandria in the Commonwealth of Virginia, and (D) all cities and other units of government within the geographic areas of such District, Counties, and City." (10 U.S.C. § 2674(f)(2), Pub. L. No. 101-510 § 2803(c)(2) (1990); *Federal Emergency Management Administration's Fiscal Year 2010 Homeland Security Grant Program Guidance*, 13).

8.3. Membership in MWCOG. Membership in the Metropolitan Washington Council of Governments is not a pre-requisite for eligibility to receive NCR UASI grant funds for projects.

8.4. State eligibility. The State of Maryland and the Commonwealth of Virginia both exist in part within the boundaries of the NCR. As such Maryland and Virginia state agencies are eligible to receive NCR UASI grant funding regardless of where the agency's physical headquarters are located within the borders of the State or Commonwealth. According to FEMA Grant Guidance any funds awarded to state agencies "must be used to directly support the designated Urban Areas in the State." (*Federal Emergency Management Administration's Fiscal Year 2010 Homeland Security Grant Program Guidance*, 52). Projects implemented by Maryland or Virginia agencies must also meet regional impact requirements as stated in Section 6.

8.5. Eligibility does not create a right to project funds. Eligibility does not indicate an entitlement to receive NCR UASI grant funds. All proposals for funding must be submitted and approved through the designated grant application process for that grant program and year in order to receive funds.

8.6. Questions. Questions on eligibility or the grant application process should be submitted to the SAA.

Annexes

- A. Project Proposal Template; DHS Definitions
- B. SAA Standard Operating Procedures
- C. SAA Sub-Grantee Manual
- D. SAA Audits White Paper