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# AGENDA REPORT

**TO:** Sabrina B. Landreth  
City Administrator

**FROM:** Teresa Deloach Reed  
Fire Chief

**SUBJECT:** Fiscal Year 2015 Urban Area Security Initiative Program Grant Agreement

**DATE:** November 16, 2015

City Administrator Approval

Date:

11/18/15

## RECOMMENDATION

**Staff Recommends City Council Approval Of A Resolution Authorizing The City Administrator Or Her Designee To: 1. Enter Into The Urban Area Security Initiative (UASI) Grant Administration Agreement With The City And County Of San Francisco To Accept And Appropriate Up To One Million One Hundred Thousand Dollars (1,100,000.00) For Federal Fiscal Year 2015 UASI Grant Funds; And 2. Accept, Appropriate, And Administer Said UASI Federal Grant Funds; And 3. Approve The 2015 UASI Recommended Proposed Spending Plan And Authorize a Contribution from the General Purpose Fund in An Amount Equivalent to the Department's Central Services Overhead (CSO) Charges Affiliated with Said Grant Estimated At Thirty-One Thousand One Hundred Ninety Five Dollars (\$31,195.00) For FY 2015-16 And Thirty-Seven Thousand Four Hundred Thirty Three Dollars (\$37,433.00) For FY 2016-17; And 4. Expend Funds In Accordance With Said Recommended Spending Plan Without Further Council Approval Provided The City's Hiring And Contract Services Requirements And Programs/Policies Are Followed.**

## EXECUTIVE SUMMARY

The City of Oakland Fiscal Year (FY) 2015 UASI grant proposal was approved by the Bay Area Urban Area Security Initiative (UASI) Approval Authority and the City of Oakland has been awarded a grant allocation of up to one million one hundred thousand dollars (\$1,100,000.00), for FY 2015 UASI as part of an investment for the regional planning, training, exercises, equipment, interoperable communications projects and initiatives. The allowable scope of activities includes an all-hazards approach to catastrophic events, such as major earthquakes, provided that these activities also build capabilities that relate to terrorism.

Passage of this resolution will authorize the City Administrator or her designee to enter into a grant administration agreement with the City and County of San Francisco for the FY 2015 UASI grant for one million one hundred thousand dollars (\$1,100,000.00) per Federal Fiscal Year 2015 (**Attachment A**). Council approval will also provide the City Administrator or her designee the authority to accept, administer, appropriate and expend the FY 2015 Urban Area Security Initiative (UASI) Grant Program funding of up to one million one hundred thousand dollars (\$1,100,000.00) for this grant year as per the Grant agreement and recommended spending

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plan which includes up to fifty thousand dollars (\$50,000.00) in additional funds that may be awarded from the UASI Training and Exercise program and authorize a contribution from the General Purpose Fund in an amount equivalent to the Department's Central Services Overhead costs associated with the grant in the estimated amounts of thirty-one thousand one hundred ninety five dollars (\$31,195.00) for FY 2015-16 and thirty-seven thousand four hundred thirty three dollars (\$37,433.00) for FY 2016-17. The grant agreement includes the mandatory processes for requests for reimbursement of the approved salaries and benefits, contracts, and purchases. The term of this Agreement shall commence on November 1, 2015 and shall end at 11:59 p.m. Pacific Time Zone on February 28, 2017.

### **BACKGROUND / LEGISLATIVE HISTORY**

On January 20, 2004, the City Council approved Resolution No. 78295 C.M.S. authorizing the Interim City Manager to accept, appropriate and expend the initial Urban Area Security Initiative (UASI) Grant funds.

On January 3, 2006, the Department of Homeland Security announced that the separate UASI entities that included the cities of Oakland, San Francisco and San Jose would be consolidated into one urban area for purposes of the UASI funding provided by the Federal government to high threat/high risk areas. The Bay Area UASI now encompasses eight (8) counties, three (3) major cities, over 100 municipalities and involves an area of 8,800 square miles with significant critical infrastructure including three (3) international airports, two (2) major ports, and international icons and centers of commerce and technology that are critical not only to the Bay Area economy, but also to national and global economies. The Bay Area UASI Metropolitan Statistical Area footprint contains over 7,000,000 residents. The purpose of the FY 2015 United States Department of Homeland Security, UASI Programs, is to provide financial assistance to the San Francisco Bay Area Region to address the unique equipment, training, planning, and exercise needs of large urban areas, and to assist them in building an enhanced and sustainable capacity to prevent, respond and recover from threats or acts of terrorism.

### **ANALYSIS AND POLICY ALTERNATIVES**

The following program initiatives have been authorized and approved by the United States Department of Homeland Security, the California Office of Homeland Security and the Bay Area UASI Approval Authority:

#### *Strengthen The Regional Risk Management And Planners (4.6 FTE):*

- Continue to strengthen planning, critical infrastructure planning, and enhance recovery capabilities;
- Assist with planning, preparedness, mitigation, prevention, response and recovery activities with a direct nexus to terrorism and natural disasters;
- Develop plans, operational policies, and protocols that would be implemented in the event of a terrorist incident or natural disaster within the City of Oakland and ensure integration into regional planning efforts;

- Review and develop Homeland Security sector-specific assessments and critical infrastructure inspections, conduct meetings with property owners and review their plans; and
- Work with the UASI Management team related to the Risk Assessment and Capabilities (RAC) project.

*Strengthen Communications Capabilities*

- Provide funds for a Sniper Ballistic Computer System for the Oakland Police Department. The Sniper Ballistic System provides the user with real-time atmospheric data (temperature, barometric pressure) and topographical information. The meters measure up to 15 environmental parameters (i.e. temperature, wind chill, relative humidity) and utilize a library of ballistics information on hundreds of bullets. Utilizing data that would be difficult if not impossible to measure and calculate manually in a timely manner, the meters allow officers to make a much more precise trajectory calculation while in the field.

*Strengthen Chemical, Biological, Radiological, Nuclear and Explosives (CBRNE) Detection, Response, and Decontamination Capabilities*

Staff has submitted a budget modification request to the UASI fiscal agent for a project change under this program initiative. Upon approval of the budget modification the Oakland Fire Department SCBA Enhancement project will replace the original projects identified in project "D" in Attachment A which includes the Hazardous Materials Platform Lab, the Sniper Team Equipment-Camera Systems, and the Sniper Team Equipment-Specialized Optics. Approval of this budget modification will authorize funds, up to four hundred thousand dollars (\$400,000.00), to be used for the Oakland Fire Department SCBA Enhancement Project.

Recommended Project:

- Provide additional funds for the Oakland Fire Department Self-Contained Breathing Apparatus (SCBA) Enhancement Project.

*Strengthen Emergency Planning and Citizen Preparedness Capabilities*

- Provide Funds for Web EOC Maintenance and Support.

*Regional Exercise Programs (Via The Alameda County Sheriff's Office Training And Exercise Program)*

- Continue integrated training and exercises;
- Continue "train-the-trainer" programs;
- Provide training and exercises to meet identified priorities and fill gaps; and
- Provide training materials to enhance local facilities' training programs.

Funds will be utilized to purchase equipment, supplies, and contract services needed by the Emergency Management Services Division, Police and Fire Departments as well as other City departments as funding permits. All projects augment the City's emergency management

response and recovery capabilities, as well as provide regional benefit. All equipment purchased with UASI grant funds will be listed on the Federal 2015 Authorized Equipment Lists (AEL) and be approved by the State of California prior to purchases.

**FISCAL IMPACT**

The authorized spending plan is included in the **Attachment A** of this report. A budget modification request has been submitted by staff to the UASI Fiscal Authority for reallocation of funds under Project "D-Strengthen CBRNE Detection, Response, And Decontamination Capabilities". Upon approval of the budget modification the Oakland Fire Department SCBA Enhancement project will replace the original projects identified in project "D" in **Attachment A** which include the Hazardous Materials Platform Lab, the Sniper Team Equipment-Camera Systems, and the Sniper Team Equipment-Specialized Optics and authorize funds, up to four hundred thousand dollars (\$400,000.00), to be used for the Oakland Fire Department SCBA Enhancement Project.

Cost Summary:

1. UASI FY 2015 Recommended Grant Spending Plan:

Cost Category	UASI Funding Source	Program Category	Amount
Planning and Response; Includes Program Management and Support	Core City Funding	Strengthen The Regional Risk Management And Planners (4.6 FTE):	Up to \$600,000
Equipment	East Bay Hub Funding	Strengthen communications capabilities	Up to \$28,000
Equipment	Core City Funding	Strengthen CBRNE Detection, Response, And Decontamination Capabilities: <b><u>PENDING Budget Modification</u></b> <b>Approval:</b> Funds for the Oakland Fire Department SCBA Enhancement Project (up to \$400,000). The SCBA Enhancement Project will replace all items in Project "D" identified in the attached grant agreement ( <b>Attachment A</b> )	Up to \$400,000
System Software Maintenance and Support	Core City Funding	Strengthen Emergency Planning And Citizen Preparedness Capabilities	Up to \$22,000
Travel, Training and Exercise	UASI Training and Exercise Program - Alameda County Sheriff's Office	Regional Exercise Programs	Up to \$50,000
		Total	\$1,100,000

2. Source Of Funding: FY 2015 UASI Grant Funding provided by the United States Department of Homeland Security, Urban Area Security Initiative Grant Program.
3. Fiscal Impact: The only impact to the General Purpose Fund is a contribution for any Purchasing and Contract Compliance internal service fees and the Fire Department's Central Services Overhead (CSO) fees associated with the FY2015 UASI Grant in the estimated amounts of \$31,195 in FY 2015-16 and 37,433 in FY 2016-17 for the positions funded under the grant.
4. Grant funds shall be appropriated into U.S. Department of Homeland Security Fund (2123), Office of Emergency Services Organization (20711), a grant project to be determined, and Emergency Management Services Division/Homeland Security Program (PS21).

### **PUBLIC OUTREACH / INTEREST**

The general public, all cities, special districts, non-governmental agencies and counties within the Bay Area UASI footprint are invited to participate in the UASI Grant planning and proposals processes. Panel members are organized in each area of the region to represent the East, West, North and South Bay Hubs to review all submitted grant proposals. The panel recommendations are forwarded to the UASI Advisory Group who review and vet each proposal. Final recommendations for funding are then sent to the UASI Approval Authority for final approvals.

### **COORDINATION**

The FY 2015 UASI grant application processes have always involved numerous meetings with hundreds of participants from throughout the Region in which the City of Oakland Police Department, Fire Department, Emergency Management Services Division and Department of Information Technology staff regularly attend. As part of the allocation and grant process, the urban areas' various workgroups are required to engage in an additional process to prioritize the grant proposal funding and projects based on their allocations.

### **SUSTAINABLE OPPORTUNITIES**

**Economic:** Emergency preparedness and planning activities enhance the City of Oakland's efforts to provide a climate in which economic development and economic resiliency can flourish.

**Environmental:** All planning, preparedness, mitigation, prevention, response and recovery activities provide for the preservation of environmentally significant and/or historic properties to the highest extent possible.

**Social Equity:** The UASI regional collaboration and planning projects explicitly incorporate consideration for special needs populations which include but are not limited to non-English

speaking residents, persons with access and functional needs and economically disadvantaged residents. The specific UASI regional projects are: Medical Surge, Mass Care, and Community Resiliency. The FY 2015 UASI grant projects will also help to ensure social equity during catastrophic incidents.

**ACTION REQUESTED OF THE CITY COUNCIL**

Staff recommends City Council approve a resolution authorizing the City Administrator or her designee to enter into a grant agreement with the City and County of San Francisco to accept Urban Area Security Initiative (UASI) Grant funds in the amount of one million one hundred thousand dollars (\$1,100,000.00); accept appropriate and administer said UASI funds in accordance to the recommended spending plan and provide a contribution from the General Purpose Fund for Central Services Overhead (CSO) fees per fiscal year affiliated with the FY 2015 UASI.

For questions regarding this report, please contact Cathey Eide, Assistant Emergency Manager, Emergency Management Services Division at (510) 238-6069.

Respectfully submitted,



Teresa DeLoach Reed  
Fire Chief, Oakland Fire Department

Reviewed by:

Rebecca Kozak, Executive Assistant

Prepared by:

Cathey Eide, Assistant Emergency Manager  
Emergency Management Services Division

Attachment:

- A. Agreement Between The City And County Of San Francisco And The City Of Oakland For The Distribution Of FY 2015 UASI Grant Funds

**AGREEMENT BETWEEN THE CITY AND COUNTY OF  
SAN FRANCISCO AND THE COUNTY OF OAKLAND  
FOR THE DISTRIBUTION OF FY 2015 UASI GRANT FUNDS**

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THIS AGREEMENT is made this **NOVEMBER 1, 2015** in the City and County of San Francisco, State of California, by and between the **CITY OF OAKLAND** ("OAKLAND") and the **CITY AND COUNTY OF SAN FRANCISCO**, a municipal corporation ("San Francisco" or "City"), in its capacity as fiscal agent for the Approval Authority, as defined below, acting by and through the San Francisco Department of Emergency Management ("DEM").

***RECITALS***

WHEREAS, The United States Department of Homeland Security ("DHS") consolidated the separate San Jose, Oakland, and San Francisco Urban Areas into a combined Bay Area Urban Area ("UASI Region") for the purpose of application for and allocation and distribution of federal Urban Areas Security Initiative ("UASI") program grant funds; and

WHEREAS, The Bay Area Urban Area Approval Authority ("Approval Authority") was established as the Urban Area Working Group ("UAWG") for the UASI Region, to provide overall governance of the homeland security grant program across the UASI Region, to coordinate development and implementation of all UASI program initiatives, and to ensure compliance with all UASI program requirements; and

WHEREAS, The UASI General Manager is responsible for implementing and managing the policy and program decisions of the Approval Authority, directing the work of the UASI Management Team personnel, and performing other duties as determined and directed by the Approval Authority, and

WHEREAS, San Francisco has been designated as the grantee for UASI funds granted by the DHS through the California Office of Emergency Services ("Cal OES") to the UASI Region, with responsibility to establish procedures and execute subgrant agreements for the distribution of UASI program grant funds to jurisdictions selected by the Approval Authority to receive grant funding; and

WHEREAS, San Francisco has been designated to serve as the fiscal agent for the Approval Authority, and to establish procedures and provide all financial services for distribution of UASI program grant funds within the UASI Region; and

WHEREAS, Pursuant to grant allocation decisions by the Approval Authority, the UASI Management Team has asked San Francisco to distribute a portion of the regional UASI grant funds to OAKLAND on the terms and conditions set forth herein;

NOW, THEREFORE, in consideration of the premises and the mutual covenants contained in this Agreement and for other good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, the parties hereto agree as follows:

## ARTICLE 1 DEFINITIONS

1.1 **Specific Terms**. Unless the context requires otherwise, the following capitalized terms (whether singular or plural) shall have the meanings set forth below:

(a) **“ADA”** shall mean the Americans with Disabilities Act (including all rules and regulations there under) and all other applicable federal, state and local disability rights legislation, as the same may be amended, modified or supplemented from time to time.

(b) **“Authorized Expenditures”** shall mean expenditures for those purposes identified and budgeted in Appendix A, attached hereto and incorporated by reference as though fully set forth herein.

(c) **“Event of Default”** shall have the meaning set forth in Section 7.1.

(d) **“Fiscal Quarter”** shall mean each period of three calendar months commencing on July 1, October 1, January 1, and April 1, respectively.

(e) **“Grant Funds”** shall mean any and all funds allocated or disbursed to OAKLAND (DUNS#: 603919432) under this Agreement. This Agreement shall specifically cover funds allocated or disbursed from Cal OES Grant No. 2015-00078, Cal OES ID No. 075-95017, CFDA No. 97.067, per Cal OES award notice dated September 25, 2015.

(f) **“Grant Plan”** shall mean the plans, performances, events, exhibitions, acquisitions or other activities or matter, and the budget and requirements, described in Appendix A. If OAKLAND requests any modification to the Grant Plan, OAKLAND shall submit a written request to the UASI General Manager with the following information: Scope of change requested, reason for change, proposed plan for change, summary of approved and requested modifications to the Grant Plan, and any necessary approvals in support of change (e.g., EHP).

(g) **“Indemnified Parties”** shall mean: (i) San Francisco, including all commissions, departments including DEM, agencies, and other subdivisions of San Francisco; (ii) San Francisco’s elected officials, directors, officers, employees, agents, successors, and assigns; and (iii) all persons or entities acting on behalf of the foregoing.

(h) **“Losses”** shall mean any and all liabilities, obligations, losses, damages, penalties, claims, actions, suits, judgments, fees, expenses and costs of whatsoever kind and nature (including legal fees and expenses and costs of investigation, of prosecuting or defending any Loss described above) whether or not such Loss be founded or unfounded, of whatsoever kind and nature.

(i) **“Reimbursement Request”** shall have the meaning set forth in Section 3.10(a).

1.2 **Additional Terms**. The terms “as directed,” “as required” or “as permitted” and similar terms shall refer to the direction, requirement, or permission of City. The terms “sufficient,” “necessary” or “proper” and similar terms shall mean sufficient, necessary or proper in the sole judgment of City. The terms “approval,” “acceptable” or “satisfactory” or similar terms shall mean approved by, or acceptable or satisfactory to, City. The terms “include,” “included” or “including” and similar terms shall be deemed to be followed by the words “without limitation.” The use of the term “subcontractor,” “subgrantee,” “successor” or “assign” herein refers only to a subcontractor, subgrantee, successor or assign expressly permitted under Article 8.



1.3 **References to this Agreement.** References to this Agreement include: (a) any and all appendices, exhibits, schedules, and attachments hereto; (b) any and all statutes, ordinances, regulations or other documents expressly incorporated by reference herein; and (c) any and all amendments, modifications or supplements hereto made in accordance with Section 10.2. References to articles, sections, subsections or appendices refer to articles, sections or subsections of or appendices to this Agreement, unless otherwise expressly stated. Terms such as “hereunder,” “herein” or “hereto” refer to this Agreement as a whole.

1.4 **Reference to laws.** Any reference in this Agreement to a federal or state statute, regulation, executive order, requirement, policy, guide, guideline, information bulletin, or instruction shall mean that statute, regulation, executive order, requirement, policy, guide, guideline, information bulletin, or instruction as is currently in effect and as may be amended, modified or supplemented from time to time.

## **ARTICLE 2 ALLOCATION AND CERTIFICATION OF GRANT FUNDS; LIMITATIONS ON SAN FRANCISCO'S OBLIGATIONS**

2.1 **Risk of Non-Allocation of Grant Funds.** This Agreement is subject to all federal and state grant requirements and guidelines, including DHS and Cal OES requirements, guidelines, information bulletins, and instructions, the decision-making of the Cal OES and the Approval Authority, the terms and conditions of the grant award; the approved application, and to the extent applicable the budget and fiscal provisions of the San Francisco Charter. The Approval Authority shall have no obligation to allocate or direct disbursement of funds for this Agreement in lieu of allocations for new or other agreements. OAKLAND acknowledges and agrees that grant decisions are subject to the discretion of the Cal OES and Approval Authority. Further, OAKLAND acknowledges and agrees that the City shall have no obligation to disburse grant funds to OAKLAND until City and OAKLAND have fully and finally executed this Agreement. OAKLAND acknowledges and agrees that if it takes any action, informal or formal, to appropriate, encumber or expend Grant Funds before final allocation decisions by Cal OES and the Approval Authority, and before this Agreement is fully and finally executed, it assumes all risk of possible non-allocation or non-reimbursement of funds, and such acknowledgement and agreement is part of the consideration of this Agreement.

2.2 **Certification of Controller; Guaranteed Maximum Costs.** No funds shall be available under this Agreement without prior written authorization certified by the San Francisco Controller. In addition, as set forth in Section 21.19 of the San Francisco Administrative Code:

(a) San Francisco's obligations hereunder shall not at any time exceed the amount approved in the grant award and/or by the Approval Authority, and certified by the Controller for the purpose and period stated in such certification.

(b) Except as may be provided by San Francisco ordinances governing emergency conditions, San Francisco and its employees and officers, and the UASI Management Team and its personnel, are not authorized to request OAKLAND to perform services or to provide materials, equipment and supplies that would result in OAKLAND performing services or providing materials, equipment and supplies that are beyond the scope of the services, materials, equipment and supplies specified in this Agreement, unless this Agreement is amended in writing and approved as required by law to authorize the additional services, materials, equipment or supplies. San Francisco is not required to pay OAKLAND for services, materials, equipment or supplies that are provided by OAKLAND that are beyond the scope of the services, materials, equipment and supplies agreed upon herein and which were not approved by a written amendment to this Agreement having been lawfully executed by San Francisco.

(c) San Francisco and its employees and officers, and the UASI Management Team and its personnel, are not authorized to offer or promise to OAKLAND additional funding for this Agreement that would exceed the maximum amount of funding provided for herein. Additional funding for this Agreement in excess of the maximum provided herein shall require lawful approval and certification by the Controller. San Francisco is not required to honor any offered or promised additional funding that exceeds the maximum provided in this Agreement that requires lawful approval and certification of the Controller when the lawful approval and certification by the Controller has not been obtained.

(d) The Controller is not authorized to make payments on any agreement for which funds have not been certified as available in the budget or by supplemental appropriation.

2.3 **SUPERSEDURE OF CONFLICTING PROVISIONS.** IN THE EVENT OF ANY CONFLICT BETWEEN ANY OF THE PROVISIONS OF THIS ARTICLE 2 AND ANY OTHER PROVISION OF THIS AGREEMENT, THE APPLICATION DOCUMENTS OR ANY OTHER DOCUMENT OR COMMUNICATION RELATING TO THIS AGREEMENT, THE TERMS OF THIS ARTICLE 2 SHALL GOVERN.

### **ARTICLE 3 PERFORMANCE OF THE AGREEMENT**

3.1 **Duration of Term.** The term of this Agreement shall commence on **NOVEMBER 1, 2015** and shall end at 11:59 p.m. San Francisco time on **FEBRUARY 28, 2017.**

3.2 **Maximum Amount of Funds.** In no event shall the amount of Grant Funds disbursed hereunder exceed **ONE MILLION, FIFTY THOUSAND DOLLARS (\$1,050,000)**. The City will not automatically transfer Grant Funds to OAKLAND upon execution of this Agreement. OAKLAND must submit a Reimbursement Request under Section 3.10 of this Agreement, approved by the UASI Management Team and City, before the City will disburse Grant Funds to OAKLAND.

3.3 **Use of Funds.**

(a) **General Requirements.** OAKLAND shall use the Grant Funds received under this Agreement for the purposes and in the amounts set forth in the Grant Plan. OAKLAND shall not use or expend Grant Funds for any other purpose, including but not limited to, for matching funds for other federal grants/cooperative agreements, lobbying or intervention in federal regulatory or adjudicatory proceedings, or to sue the federal government or any other government entity. OAKLAND shall not permit any federal employee to receive Grant Funds.

(b) **Modification of Grant Plan.** Under Sections 1.1(f) and 10.2 of this Agreement, OAKLAND may submit a written request to modify the Grant Plan. OAKLAND shall not appropriate, encumber or expend any additional or reallocated Grant Funds pursuant to such a request for modification until (1) the General Manager or designee has provided written approval for the request and (2) the parties have finally executed a modification of this Agreement under Section 10.2, to reflect the modified Grant Plan. In addition, if the modification request requires approval from the Approval Authority and/or Cal OES, as determined by the General Manager, OAKLAND shall not appropriate, encumber or expend any additional or reallocated Grant Funds pursuant to the modification request without approval from the Approval Authority and/or Cal OES.

(c) **No Supplanting.** OAKLAND shall use Grant Funds to supplement existing funds, and not replace (supplant) funds that have been appropriated for the same purpose.

(d) Obligations. OAKLAND must expend Grant Funds in a timely manner consistent with the grant milestones, guidance and assurances; and make satisfactory progress toward the goals, objectives, milestones and deliverables in this Agreement.

### 3.4 **Grant Assurances; Other Requirements; Cooperation with Monitoring.**

(a) OAKLAND shall comply with all Grant Assurances included in Appendix B, attached hereto and incorporated by reference as though fully set forth herein. OAKLAND shall require all subgrantees, contractors and other entities receiving Grant Funds through or from OAKLAND to execute a copy of the Grant Assurances, and shall ensure that they comply with those Grant Assurances.

(b) In addition to complying with all Grant Assurances, OAKLAND shall comply with all applicable statutes, regulations, executive orders, requirements, policies, guides, guidelines, information bulletins, Cal OES grant management memos, and instructions; the terms and conditions of the grant award; the approved application, and any conditions imposed by Cal OES or the Approval Authority. OAKLAND shall require and ensure that all subgrantees, contractors and other entities receiving Grant Funds through or from OAKLAND comply with all applicable statutes, regulations, executive orders, requirements, policies, guides, guidelines, information bulletins, Cal OES grant management memos, and instructions; the terms and conditions of the grant award; the approved application, and any conditions imposed by Cal OES or the Approval Authority.

(c) OAKLAND shall promptly comply with all standards, specifications and formats of San Francisco and the UASI Management Team, as they may from time to time exist, related to evaluation, planning and monitoring of the Grant Plan and compliance with this Agreement. OAKLAND shall cooperate in good faith with San Francisco and the UASI Management Team in any evaluation, inspection, planning or monitoring activities conducted or authorized by DHS, Cal OES, San Francisco or the UASI Management Team. For ensuring compliance with non-supplanting requirements, upon request by City or the UASI Management Team, OAKLAND shall supply documentation certifying that a reduction of non-federal resources occurred for reasons other than the receipt or expected receipt of Grant Funds.

3.5 **Administrative, Programmatic and Financial Management Requirements.** OAKLAND shall establish and maintain administrative, programmatic and financial management systems and records in accordance with federal and State of California requirements. This provision requires, at a minimum, that OAKLAND comply with the following non-exclusive list of regulations commonly applicable to DHS grants, as applicable to this Agreement and the Grant Plan:

- (a) Administrative Requirements:
  - 1. 2 CFR Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (formerly 44 CFR Part 13, OMB Circulars A-21, A-87, A-89, A-102, A-110, A-122, and A-133).
- (b) Cost Principles:
  - 1. 2 CFR Part 200, Subpart E - *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (formerly 44 CFR Part 13, OMB Circulars A-21, A-87, A-89, A-102, A-110, A-122, and A-133);
  - 2. Federal Acquisition Regulations (FAR), Part 31.2 *Contract Principles and Procedures, Contracts with Commercial Organizations.*
- (c) Audit Requirements:

1. 2 CFR Part 200 Subpart F - *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (formerly 44 CFR Part 13, OMB Circulars A-21, A-87, A-89, A-102, A-110, A-122, and A-133).

### 3.6 **Technology Requirements.**

(a) National Information Exchange Model ("NIEM"). OAKLAND shall use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language ("XML") for all awards of Grant Funds.

(b) Geospatial Guidance. OAKLAND is encouraged to use Geospatial technologies, which can capture, store, analyze, transmit and/or display location-based information (i.e., information linked to a latitude and longitude), and to align any geospatial activities with the guidance available on the Federal Emergency Management Agency ("FEMA") website.

(c) Criminal Intelligence Systems Operating Policies. Any information technology system funded or supported by Grant Funds shall comply with 28 CFR Part 23, *Criminal Intelligence Systems Operating Policies*, if applicable.

(d) OAKLAND is encouraged to use the DHS guidance in *Best Practices for Government Use of CCTV: Implementing the Fair Information Practice Principles*, if Grant Funds are used to purchase or install closed circuit television (CCTV) systems or to support operational CCTV systems.

### 3.7 **Procurement Requirements.**

(a) General Requirements. OAKLAND shall follow its own procurement requirements as long as those requirements comply with all applicable federal and State of California statutes, regulations, requirements, policies, guides, guidelines and instructions.

(b) Specific Purchases. If OAKLAND is using Grant Funds to purchase interoperable communication equipment, OAKLAND shall consult DHS's SAFECOM's coordinated grant guidance, which outlines standards and equipment information to enhance interoperable communication. If OAKLAND is using Grant Funds to acquire critical emergency supplies, prior to expending any Grant Funds, OAKLAND shall submit to the UASI Management Team for approval by Cal OES a viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.

(c) Bond requirement. OAKLAND shall obtain a performance bond for any equipment items over \$250,000 or any vehicle, aircraft or watercraft financed with Grant Funds.

### 3.8 **Subgrantee and Contractor Requirements.**

(a) OAKLAND shall ensure and independently verify that any subgrantee, contractor or other entity receiving Grant Funds through or from OAKLAND is not debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs, under Executive Orders 12549 and 12689, as implemented at 2 CFR Part 3000. OAKLAND shall obtain documentation of eligibility before disbursing Grant Funds to any subgrantee, contractor or other entity. OAKLAND shall maintain documentary proof of this verification in its files. OAKLAND shall establish procedures for the effective use of the "Excluded Parties List System," to assure that it does not provide Grant Funds to excluded parties. OAKLAND shall also establish procedures to provide for effective use and/or

dissemination of the list to assure that its grantees and subgrantees, including contractors, at any tier do not make awards in violation of the non-procurement debarment and suspension common rule.

(b) OAKLAND shall ensure that any subgrantee, contractor or other entity receiving Grant Funds through or from OAKLAND complies with the requirements of 44 CFR Part 18, *New Restrictions on Lobbying*; and

(c) OAKLAND shall ensure that any subgrantee, contractor or other entity receiving Grant Funds through or from OAKLAND complies with the requirements of 2 CFR Part 3001, *Requirements for Drug-Free Workplace (Financial Assistance)*.

### 3.9 **Monitoring Grant Performance.**

(a) City and the UASI Management Team are both authorized to perform periodic monitoring reviews of OAKLAND's performance under this Agreement, to ensure that the Grant Plan goals, objectives, performance requirements, timelines, milestone completion, budgets and other criteria are being met. Programmatic monitoring may include the Regional Federal Preparedness Coordinators, or other federal or state personnel, when appropriate. Monitoring may involve a combination of desk-based reviews and on-site monitoring visits, inspection of records, and verifications of grant activities. These reviews will involve a review and analysis of the financial, programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed. The reviews may include, but are not limited to:

1. Evaluating eligibility of expenditures;
2. Comparing actual grant activities to those approved by the Approval Authority and specified in the Grant Plan;
3. Ensuring that any advances have been deposited in an interest bearing account and disbursed in accordance with applicable guidelines; and
4. Confirming compliance with: Grant Assurances; information provided on performance reports and payment requests; and needs and threat assessments and strategies.

(b) OAKLAND is responsible for monitoring and auditing the grant activities of any subgrantee, contractor or other entity receiving Grant Funds through or from OAKLAND. This requirement includes but is not limited to mandatory on-site verification visits.

(c) If after any monitoring review, the DHS or Cal OES makes findings that require a Corrective Action Plan by OAKLAND, the City shall place a hold on all Reimbursement Requests from OAKLAND until the findings are resolved.

### 3.10 **Disbursement Procedures.** San Francisco shall disburse Grant Funds to OAKLAND as follows:

(a) OAKLAND shall submit to the UASI Management Team, in the manner specified for notices pursuant to Article 9, a document ("Reimbursement Request") substantially in the form attached as Appendix C, attached hereto and incorporated by reference as though fully set forth herein. The UASI Management Team shall serve as the primary contact for OAKLAND regarding any Reimbursement Request.

(b) The UASI Management Team will review all Reimbursement Requests for compliance with this Agreement and all applicable guidelines and requirements. The UASI Management Team will return to OAKLAND any Reimbursement Request that is submitted and not approved by the UASI Management Team, with a brief statement of the reason for the rejection of the Reimbursement Request.

(c) The UASI Management Team will submit any Reimbursement Request that is approved by the UASI Management Team to DEM. City through DEM shall review the Reimbursement Request for compliance with this Agreement and all applicable guidelines and requirements. City shall return to the UASI Management Team any Reimbursement Request that is not approved by City, with a brief explanation of the reason for the rejection of the Reimbursement Request.

(d) If a rejection relates only to a portion of the expenditures itemized in any Reimbursement Request, City shall have no obligation to disburse any Grant Funds for any other expenditures itemized in such Reimbursement Request unless and until OAKLAND submits a Reimbursement Request that is in all respects acceptable to the UASI Management Team and to City.

(e) If OAKLAND is not in compliance with any provision of this Agreement, City may withhold disbursement of Grant Funds until OAKLAND has taken corrective action and currently complies with all terms and conditions of the Agreement.

3.11 **Disallowance.** OAKLAND agrees that if it claims or receives reimbursement from City for an expenditure that is later disallowed by the State of California or the federal government, OAKLAND shall promptly refund the disallowed amount to City upon City's written request. At its option, City may offset all or any portion of the disallowed amount against any other payment due to OAKLAND hereunder or under any other Agreement with OAKLAND. Any such offset with respect to a portion of the disallowed amount shall not release OAKLAND from OAKLAND's obligation hereunder to refund the remainder of the disallowed amount.

3.12 **Sustainability.** Grant Funded programs that contain continuing personnel and operating expenses, over and above planning and implementation costs, must be sustained once the Grant Funding ends. If Equipment is purchased with grant funds the equipment must be sustained through the useful life of equipment. By executing this Agreement, OAKLAND acknowledges its responsibility and agrees to sustain continuing programs beyond the Grant Funding period. OAKLAND acknowledges and agrees that this sustainability requirement is a material term of the Agreement.

3.13 **EHP Requirements.**

(a) Grant Funded projects must comply with the federal Environmental and Historic Preservation ("EHP") program. OAKLAND shall not initiate any project with the potential to impact environmental or historic properties or resources until Cal OES and FEMA have completed EHP reviews and approved the project. Examples of projects that may impact EHP resources include: communications towers, physical security enhancements, new construction, and modifications to buildings, structures and objects that are 50 years old or greater. OAKLAND shall notify the UASI Management Team of any project that may require an EHP review. OAKLAND agrees to provide detailed project information to FEMA, Cal OES and/or the UASI Management Team, to cooperate fully in the review, and to prepare any documents requested for the review. OAKLAND shall comply with all conditions placed on the project as the result of the EHP review, and implement any treatment or mitigation measures deemed necessary to address potential adverse impacts. With prior approval of the UASI Management Team, OAKLAND may use Grant Funds toward the costs of preparing documents and/or implementing treatment or mitigation measures. Any change to the approved project scope of work will require re-evaluation for compliance with EHP requirements. If ground disturbing activities occur during project implementation, OAKLAND shall notify the UASI Management Team and ensure monitoring of ground disturbance. If any potential archeological resources are discovered, OAKLAND shall immediately cease construction in that area and notify the UASI Management Team, which will notify the appropriate State Historic Preservation Office. If OAKLAND is using Grant Funds for a communication tower project, OAKLAND shall complete its Federal Communication Commission ("FCC") EHP process before

preparing its Cal OES/FEMA EHP materials, and shall include the FCC EHP materials in the Cal OES/FEMA submission.

(b) Any construction or other project that OAKLAND initiates without the necessary EHP review and approval will not be eligible for reimbursement. Failure of OAKLAND to meet federal, State, and local EHP requirements, obtain applicable permits, or comply with any conditions that may be placed on the project as the result of FEMA's and/or Cal OES's EHP review will result in the denial of Reimbursement Requests.

3.14 **National Energy Conservation Policy and Energy Policy Acts.** OAKLAND shall comply with the following requirements:

(a) Grant Funds may not be used in contravention of the Federal buildings performance and reporting requirements of Executive Order 13123, part 3 of Title V of the National Energy Conservation Policy Act (42 USC §8251 et seq.), or Subtitle A of Title I of the Energy Policy Act of 2005; and

(b) Grant Funds may not be used in contravention of Section 303 of the Energy Policy Act of 1992 (42 USC §13212).

3.15 **Royalty-Free License.** OAKLAND understands and agrees that FEMA reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish or otherwise use, and authorize others to use, for federal government purposes: (a) the copyright in any work developed using Grant Funds; and (b) any rights of copyright that OAKLAND purchases or acquires using Grant Funds. OAKLAND shall consult with the UASI Management Team and FEMA regarding the allocation of any patent rights that arise from, or are purchased with, Grant Funds.

3.16 **Publication Statements.** OAKLAND shall ensure that all publications created or developed under this Agreement prominently contain the following statement: "This document was prepared under a grant from the Federal Emergency Management Agencies Grant Programs Directorate (FEMA/GPD) within the US Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA/GPD or the US Department of Homeland Security."

#### ARTICLE 4 REPORTING REQUIREMENTS; AUDITS

4.1 **Regular Reports.** OAKLAND shall provide, in a prompt and timely manner, financial, operational and other reports, as requested by the UASI Management Team or by City, in form and substance satisfactory to the UASI Management Team or City. Such reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages, to the maximum extent possible.

4.2 **Notification of Defaults or Changes in Circumstances.** OAKLAND shall notify the UASI Management Team and City immediately of (a) any Event of Default or event that, with the passage of time, would constitute an Event of Default; (b) any change of circumstances that would cause any of the representations or warranties contained in Article 5 to be false or misleading at any time during the term of this Agreement; and (c) any change of circumstances or events that would cause OAKLAND to be out of compliance with the Grant Assurances in Appendix B.

4.3 **Books and Records.** OAKLAND shall establish and maintain accurate files and records of all aspects of the Grant Plan and the matters funded in whole or in part with Grant Funds. Without limiting the scope of the foregoing, OAKLAND shall establish and maintain accurate financial books and accounting records relating to Authorized Expenditures and to Grant Funds received and expended under

this Agreement, together with all invoices, documents, payrolls, time records and other data related to the matters covered by this Agreement, whether funded in whole or in part with Grant Funds. OAKLAND shall maintain all of the files, records, books, invoices, documents, payrolls and other data required to be maintained under this Section in a readily accessible location and condition for a period of not less than three (3) years after expiration of this Agreement or until any final audit by Cal OES has been fully completed, whichever is later.

4.4 **Inspection and Audit.** OAKLAND shall make available to the UASI Management Team and to City, and to UASI Management Team and City employees and authorized representatives, during regular business hours, all of the files, records, books, invoices, documents, payrolls and other data required to be established and maintained by OAKLAND under Section 4.3, and allow access and the right to examine those items. OAKLAND shall permit the UASI Management Team and City, and UASI Management Team and City employees and authorized representatives, to inspect, audit, examine and make excerpts and transcripts from any of the foregoing. The rights of the UASI Management Team and City pursuant to this Section shall remain in effect so long as OAKLAND has the obligation to maintain such files, records, books, invoices, documents, payrolls and other data under this Article 4. The DHS, the Comptroller General of the United States or designee, and Cal OES shall have the same inspection and audit rights as the City and UASI Management Team. OAKLAND shall cooperate with any federal or state audit.

4.5 **Audit Report.** If the amount specified in Section 3.2 of this agreement is \$750,000 or more, OAKLAND shall submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's *Government Auditing Standards*, and 2 CFR Part 200 Subpart F - *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*. OAKLAND shall submit its audit report to the UASI Management Team no later than six months after the end of OAKLAND's fiscal year.

## ARTICLE 5 REPRESENTATIONS AND WARRANTIES

OAKLAND represents and warrants each of the following as of the date of this Agreement and at all times throughout the term of this Agreement:

5.1 **No Misstatements.** No document furnished or to be furnished by OAKLAND to the UASI Management Team or to City in connection with this Agreement, any Reimbursement Request or any other document relating to any of the foregoing, contains or will contain any untrue statement of material fact or omits or will omit a material fact necessary to make the statements contained therein not misleading, under the circumstances under which any such statement shall have been made.

5.2 **Eligibility to Receive Federal Funds.** By executing this Agreement, OAKLAND certifies that it is eligible to receive federal funds, and specifically certifies as follows:

(a) OAKLAND is not suspended, debarred or otherwise excluded from participation in federal assistance programs, as required by Executive Order 12549 and 12689, "Debarment and Suspension" and implemented at 2 CFR Part 3000.

(b) OAKLAND complies with 31 U.S.C. §1352, *Limitation on use of appropriated funds to influence federal contracting and financial transactions*, as implemented at 44 CFR Part 18 and 6 CFR Part 9.



(c) OAKLAND complies with the Drug-Free Workplace Act of 1988, as amended, 41 U.S.C. §701 et seq., as implemented in 2 CFR Part 3001, and will continue to provide a drug-free workplace as required under that Act and implementing regulations.

(d) OAKLAND is not delinquent in the repayment of any federal debt. See OMB Circular A-129.

OAKLAND acknowledges that these certifications of eligibility to receive federal funds are material terms of the Agreement.

5.3 **NIMS Compliance.** To be eligible to receive Grant Funds, OAKLAND must meet National Incident Management System ("NIMS") compliance requirements, and report full NIMS compliance via the National Incident Management System Capability Assessment Support Tool ("NIMSCAST"). By executing this Agreement, OAKLAND certifies that it is in full NIMS compliance, and that it has reported that compliance via the NIMSCAST. OAKLAND shall provide documentation of its NIMS compliance to the UASI Management Team. OAKLAND acknowledges that this certification is a material term of the Agreement.

## **ARTICLE 6 INDEMNIFICATION AND GENERAL LIABILITY**

6.1 **Indemnification.** OAKLAND shall indemnify, protect, defend and hold harmless each of the Indemnified Parties from and against any and all Losses arising from, in connection with or caused by OAKLAND's performance of this Agreement, including, but not limited to, the following: (a) a material breach of this Agreement by OAKLAND; (b) a material breach of any representation or warranty of OAKLAND contained in this Agreement; (c) any personal injury or death caused, directly or indirectly, by any act or omission of OAKLAND or its employees, subgrantees or agents; (d) any loss of or damage to property caused, directly or indirectly, by any act or omission of OAKLAND or its employees, subgrantees or agents; (e) the use, misuse or failure of any equipment or facility used by OAKLAND, or by any of its employees, subgrantees or agents, regardless of whether such equipment or facility is furnished, rented or loaned to OAKLAND by an Indemnified Party; (f) any tax, fee, assessment or other charge for which OAKLAND is responsible under Section 10.4; or (g) any infringement of patent rights, copyright, trade secret or any other proprietary right or trademark of any person or entity in consequence of the use by any Indemnified Party of any goods or services furnished by OAKLAND or its employees, subgrantees or agents to such Indemnified Party in connection with this Agreement. The foregoing indemnity shall include, without limitation, reasonable fees of attorneys, consultants and experts and related costs and San Francisco's costs of investigating any claims against San Francisco.

6.2 **Duty to Defend; Notice of Loss.** OAKLAND acknowledges and agrees that its obligation to defend the Indemnified Parties under Section 6.1: (a) is an immediate obligation, independent of its other obligations hereunder; (b) applies to any Loss which actually or potentially falls within the scope of Section 6.1, regardless of whether the allegations asserted in connection with such Loss are or may be groundless, false or fraudulent; and (c) arises at the time the Loss is tendered to OAKLAND by the Indemnified Party and continues at all times thereafter. The Indemnified Party shall give OAKLAND prompt notice of any Loss under Section 6.1 and OAKLAND shall have the right to defend, settle and compromise any such Loss; provided, however, that the Indemnified Party shall have the right to retain its own counsel at the expense of OAKLAND if representation of such Indemnified Party by the counsel retained by OAKLAND would be inappropriate due to conflicts of interest between such Indemnified Party and OAKLAND. An Indemnified Party's failure to notify OAKLAND promptly of any Loss shall not relieve OAKLAND of any liability to such Indemnified Party pursuant to Section 6.1, unless such failure materially impairs OAKLAND's ability to defend such Loss. OAKLAND shall seek the

Indemnified Party's prior written consent to settle or compromise any Loss if OAKLAND contends that such Indemnified Party shares in liability with respect thereto.

6.3 **Incidental and Consequential Damages.** Losses covered under this Article 6 shall include any and all incidental and consequential damages resulting in whole or in part from OAKLAND's acts or omissions. Nothing in this Agreement shall constitute a waiver or limitation of any rights that any Indemnified Party may have under applicable law with respect to such damages.

6.4 **LIMITATION ON LIABILITY OF SAN FRANCISCO.** CITY'S OBLIGATIONS UNDER THIS AGREEMENT SHALL BE LIMITED TO THE AGGREGATE AMOUNT OF GRANT FUNDS ACTUALLY DISBURSED HEREUNDER. NOTWITHSTANDING ANY OTHER PROVISION CONTAINED IN THIS AGREEMENT OR ANY OTHER DOCUMENT OR COMMUNICATION RELATING TO THIS AGREEMENT, IN NO EVENT SHALL CITY BE LIABLE, REGARDLESS OF WHETHER ANY CLAIM IS BASED ON CONTRACT OR TORT, FOR ANY SPECIAL, CONSEQUENTIAL, INDIRECT OR INCIDENTAL DAMAGES, INCLUDING LOST PROFITS, ARISING OUT OF OR IN CONNECTION WITH THIS AGREEMENT, THE GRANT FUNDS, THE GRANT PLAN OR ANY ACTIVITIES PERFORMED IN CONNECTION WITH THIS AGREEMENT.

#### **ARTICLE 7 EVENTS OF DEFAULT AND REMEDIES; TERMINATION FOR CONVENIENCE**

7.1 **Events of Default.** The occurrence of any one or more of the following events shall constitute an "Event of Default" under this Agreement:

(a) **False Statement.** Any statement, representation, certification or warranty contained in this Agreement, in any Reimbursement Request, or in any other document submitted to the UASI Management Team or to City under this Agreement is found by the UASI Management Team or by City to be false or misleading.

(b) **Failure to Perform Other Covenants.** OAKLAND fails to perform or breaches any provision or covenant of this Agreement to be performed or observed by OAKLAND as and when performance or observance is due and such failure or breach continues for a period of ten (10) days after the date on which such performance or observance is due.

(c) **Failure to Comply with Applicable Laws.** OAKLAND fails to perform or breaches any of the terms or provisions of Article 12.

(d) **Voluntary Insolvency.** OAKLAND(i) is generally not paying its debts as they become due, (ii) files, or consents by answer or otherwise to the filing against it of, a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors' relief law of any jurisdiction, (iii) makes an assignment for the benefit of its creditors, (iv) consents to the appointment of a custodian, receiver, trustee or other officer with similar powers of OAKLAND or of any substantial part of OAKLAND's property or (v) takes action for the purpose of any of the foregoing.

(e) **Involuntary Insolvency.** Without consent by OAKLAND, a court or government authority enters an order, and such order is not vacated within ten (10) days, (i) appointing a custodian, receiver, trustee or other officer with similar powers with respect to OAKLAND or with respect to any substantial part of OAKLAND's property, (ii) constituting an order for relief or approving a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors' relief law of any jurisdiction or (iii) ordering the dissolution, winding-up or liquidation of OAKLAND.

7.2 **Remedies upon Event of Default.** Upon and during the continuance of an Event of Default, City may do any of the following, individually or in combination with any other remedy:

(a) **Termination.** City may terminate this Agreement by giving a written termination notice to OAKLAND and, on the date specified in such notice, this Agreement shall terminate and all rights of OAKLAND hereunder shall be extinguished. In the event of such termination, City will pay OAKLAND for Authorized Expenditures in any Reimbursement Request that was submitted and approved by the UASI Management Team and by City prior to the date of termination specified in such notice.

(b) **Withholding of Grant Funds.** City may withhold all or any portion of Grant Funds not yet disbursed hereunder, regardless of whether OAKLAND has previously submitted a Reimbursement Request or whether the UASI Management Team and/or City has approved the disbursement of the Grant Funds requested in any Reimbursement Request. Any Grant Funds withheld pursuant to this Section and subsequently disbursed to OAKLAND after cure of applicable Events of Default shall be disbursed without interest.

(c) **Return of Grant Funds.** City may demand the immediate return of any previously disbursed Grant Funds that have been claimed or expended by OAKLAND in breach of the terms of this Agreement, together with interest thereon from the date of disbursement at the maximum rate permitted under applicable law.

7.3 **Termination for Convenience.**

(a) City shall have the option, in its sole discretion, to terminate this Agreement, at any time during the term hereof, for convenience and without cause. City shall exercise this option by giving OAKLAND written notice of termination. The notice shall specify the date on which termination shall become effective.

(b) Upon receipt of the notice, OAKLAND shall commence and perform, with diligence, all actions necessary on the part of OAKLAND to effect the termination of this Agreement on the date specified by City and to minimize the liability of OAKLAND and City to third parties as a result of termination. All such actions shall be subject to the prior approval of the UASI Management Team.

(c) Within 30 days after the specified termination date, OAKLAND shall submit to the UASI Management Team an invoice for all Authorized Expenses incurred through the termination date. For Authorized Expenses incurred after receipt of the notice of termination, City will only reimburse OAKLAND if the Authorized Expenses received prior approval from the UASI Management Team as specified in subparagraph (b).

(d) In no event shall City be liable for costs incurred by OAKLAND or any of its contractors or subgrantees after the termination date specified by City.

(e) City's payment obligation under this Section shall survive termination of this Agreement.

7.4 **Remedies Nonexclusive.** Each of the remedies provided for in this Agreement may be exercised individually or in combination with any other remedy available hereunder or under applicable laws, rules and regulations. The remedies contained herein are in addition to all other remedies available to City at law or in equity by statute or otherwise and the exercise of any such remedy shall not preclude or in any way be deemed to waive any other remedy.

**ARTICLE 8  
ASSIGNMENTS**

8.1 **No Assignment by OAKLAND.** OAKLAND shall not, either directly or indirectly, assign, transfer, hypothecate, subcontract or delegate all or any portion of this Agreement or any rights, duties or obligations of OAKLAND hereunder without the prior written consent of the UASI Management Team; provided, however, that any contractor or subgrantee specifically referenced in Appendix A shall not require the consent of Management Team. This Agreement shall not, nor shall any interest herein, be assignable as to the interest of OAKLAND involuntarily or by operation of law without the prior written consent of City. A change of ownership or control of OAKLAND or a sale or transfer of substantially all of the assets of OAKLAND shall be deemed an assignment for purposes of this Agreement.

8.2 **Agreement Made in Violation of this Article.** Any agreement made in violation of Section 8.1 shall confer no rights on any person or entity and shall automatically be null and void.

8.3 **OAKLAND Retains Responsibility.** OAKLAND shall in all events remain liable for the performance by any subgrantee contractor, or assignee of all of the covenants, terms and conditions in this Agreement.

**ARTICLE 9  
NOTICES AND OTHER COMMUNICATIONS**

9.1 **Requirements.** Unless otherwise specifically provided herein, all notices, consents, directions, approvals, instructions, requests and other communications hereunder shall be in writing, shall be addressed to the person and address set forth below and shall be (a) deposited in the U.S. mail, first class, certified with return receipt requested and with appropriate postage, (b) hand delivered or (c) sent via facsimile (if a facsimile number is provided below):

**If to San Francisco:**

San Francisco Department of Emergency Management  
1011 Turk Street  
San Francisco, CA 94102  
Attn: Anne Kronenberg, Executive Director  
Facsimile No.: (415) 558-3864

**If to the UASI Management Team:**

UASI Management Team  
711 Van Ness Avenue, Suite #420  
San Francisco, CA 94102  
Attn: Catherine Spaulding, Assistant General Manager  
Facsimile No.: (415) 353-5246

If to OAKLAND:

Oakland Fire Department OES  
1605 Martin Luther King, Jr. Way, 2<sup>nd</sup> Floor  
Oakland, CA 94612  
Attn: Cathey Eide, Acting Director of OES and Homeland Security  
Facsimile No.: (510) 986-2821

9.2 **Effective Date.** All communications sent in accordance with Section 9.1 shall become effective on the date of receipt. Such date of receipt shall be determined by: (a) if mailed, the return receipt, completed by the U.S. postal service; (b) if sent via hand delivery, a receipt executed by a duly authorized agent of the party to whom the notice was sent; or (c) if sent via facsimile, the date of telephonic confirmation of receipt by a duly authorized agent of the party to whom the notice was sent or, if such confirmation is not reasonably practicable, the date indicated in the facsimile machine transmission report of the party giving such notice.

9.3 **Change of Address.** From time to time any party hereto may designate a new address or recipient for notice for purposes of this Article 9 by written notice to the other party and the UASI Management Team.

## **ARTICLE 10 MISCELLANEOUS**

10.1 **No Waiver.** No waiver by San Francisco of any default or breach of this Agreement shall be implied from any failure by the UASI Management Team or San Francisco to take action on account of such default if such default persists or is repeated. No express waiver by San Francisco shall affect any default other than the default specified in the waiver and shall be operative only for the time and to the extent therein stated. Waivers by San Francisco of any covenant, term or condition contained herein shall not be construed as a waiver of any subsequent breach of the same covenant, term or condition. The consent or approval by the UASI Management Team or San Francisco of any action requiring further consent or approval shall not be deemed to waive or render unnecessary the consent or approval to or of any subsequent similar act.

10.2 **Modification.** This Agreement may not be modified, nor may compliance with any of its terms be waived, except by written instrument executed and approved in the same manner as this Agreement; provided, however, that the General Manager or designee may establish alternate procedures for modification of the Appendix A and the Grant Plan.

10.3 **Governing Law; Venue.** The formation, interpretation and performance of this Agreement shall be governed by the laws of the State of California, without regard to its conflict of laws principles. Venue for all litigation relative to the formation, interpretation and performance of this Agreement shall be in San Francisco.

10.4 **OAKLAND to Pay All Taxes.** OAKLAND shall pay to the appropriate governmental authority, as and when due, any and all taxes, fees, assessments or other governmental charges, including possessory interest taxes and California sales and use taxes, levied upon or in connection with this Agreement, the Grant Plan, the Grant Funds or any of the activities contemplated by this Agreement.

10.5 **Headings.** All article and section headings and captions contained in this Agreement are for reference only and shall not be considered in construing this Agreement.

10.6 **Entire Agreement.** This Agreement sets forth the entire Agreement between the parties, and supersedes all other oral or written provisions. The following Appendices are attached to and a part of this Agreement:

- Appendix A, Authorized Expenditures and Timelines
- Appendix B, Grant Assurances
- Appendix C, Form of Reimbursement Request

10.7 **Certified Resolution of Signatory Authority.** Upon request of San Francisco, OAKLAND shall deliver to San Francisco a copy of the corporate resolution(s) authorizing the execution, delivery and performance of this Agreement, certified as true, accurate and complete by the appropriate authorized representative of OAKLAND.

10.8 **Severability.** Should the application of any provision of this Agreement to any particular facts or circumstances be found by a court of competent jurisdiction to be invalid or unenforceable, then (a) the validity of other provisions of this Agreement shall not be affected or impaired thereby, and (b) such provision shall be enforced to the maximum extent possible so as to effect the intent of the parties and shall be reformed without further action by the parties to the extent necessary to make such provision valid and enforceable.

10.9 **Successors; No Third-Party Beneficiaries.** Subject to the terms of Article 8, the terms of this Agreement shall be binding upon, and inure to the benefit of, the parties hereto and their successors and assigns. Nothing in this Agreement, whether express or implied, shall be construed to give any person or entity (other than the parties hereto and their respective successors and assigns and, in the case of Article 6, the Indemnified Parties) any legal or equitable right, remedy or claim under or in respect of this Agreement or any covenants, conditions or provisions contained herein.

10.10 **Survival of Terms.** The obligations of OAKLAND and the terms of the following provisions of this Agreement shall survive and continue following expiration or termination of this Agreement: Sections 4.3 and 4.4, Article 6, this Article 10, and the Grant Assurances of Appendix B.

10.11 **Further Assurances.** From and after the date of this Agreement, OAKLAND agrees to do such things, perform such acts, and make, execute, acknowledge and deliver such documents as may be reasonably necessary or proper and usual to complete the transactions contemplated by this Agreement and to carry out the purpose of this Agreement in accordance with this Agreement.

10.12 **Disclosure of Subawards and Executive Compensation.** Pursuant to the Federal Funding Accountability and Transparency Act (FFATA) (P.L. 109-282) as amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (P.L. 110-252), full disclosure to the public of entities or organizations receiving federal funds is now required. As defined by the Office of Management and Budget (OMB), all new Federal awards of \$25,000 or more as of October 1, 2010, are subject to FFATA reporting requirements. The Transparency Act definition of "Federal awards" includes not only prime awards for grantees, cooperators, and contractors, but also awards to sub-recipients. If applicable, OAKLAND must provide the following information on OAKLAND letterhead within 30 days of receipt of this Agreement.

1. Subawards greater than \$25,000:
  - a) Name of entity receiving award;
  - b) Amount of award;
  - c) Funding agency;
  - d) The Catalog of Federal Domestic Assistance program number;

- e) Award title (descriptive of the purpose of the funding action);
- f) Location of the entity and primary location of performance including city, state, and Congressional district;
- g) Dun & Bradstreet (D&B) DUNS Number of the entity, and its parent if applicable; and,
- h) Total compensation and names of top five executives (same thresholds as for prime recipients).

2. The Total compensation and names of the top five executives if:

- a) 80% or more of annual gross revenues are from Federal awards (contracts, sub-contracts and Federal financial assistance), and \$25,000,000 or more in annual gross revenues from Federal awards; and,
- b) Compensation information is not already available through reporting to the Securities and Exchange Commission.

**10.13 Cooperation with UASI Programs and Activities.**

(a) Subject to reasonable terms and conditions, OAKLAND agrees to participate in UASI-sponsored exercises, and to make available equipment acquired with Grant Funds for use as part of such exercises.

(b) To the extent permitted by law, OAKLAND agrees to share with the Approval Authority informational work products (such as plans, reports, data, etc.) created or acquired using Grant Funds.

**ARTICLE 11  
INSURANCE**

11.1 **Types and Amounts of Coverage.** Without limiting OAKLAND's liability pursuant to Article 6 of this Agreement, OAKLAND shall maintain in force, during the full term of the Agreement, insurance in the following amounts and coverages:

(a) Workers' Compensation, in statutory amounts, with Employers' Liability Limits not less than \$1,000,000 each accident, injury, or illness; and

(b) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations; and

(c) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable.

11.2 **Additional Requirements for General and Automobile Coverage.** Commercial General Liability and Commercial Automobile Liability Insurance policies must be endorsed to provide:

(a) Name as Additional Insured the City and County of San Francisco, its Officers, Agents, and Employees.

(b) That such policies are primary insurance to any other insurance available to the Additional Insureds, with respect to any claims arising out of this Agreement, and that insurance applies separately to each insured against whom claim is made or suit is brought.

11.3 **Additional Requirements Regarding Workers' Compensation.** Regarding Workers' Compensation, OAKLAND hereby agrees to waive subrogation which any insurer of OAKLAND may acquire from OAKLAND by virtue of the payment of any loss. OAKLAND agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation. The Workers' Compensation policy shall be endorsed with a waiver of subrogation in favor of the City for all work performed by the OAKLAND, its employees, agents and subcontractors.

11.4 **Additional Requirements for All Policies.** All policies shall provide thirty days' advance written notice to the City of reduction or nonrenewal of coverages or cancellation of coverages for any reason. Notices shall be sent to the City address in Article 9, Notices and Other Communications.

11.5 **Required Post-Expiration Coverage.** Should any of the required insurance be provided under a claims-made form, OAKLAND shall maintain such coverage continuously throughout the term of this Agreement and, without lapse, for a period of three years beyond the expiration of this Agreement, to the effect that, should occurrences during the Agreement term give rise to claims made after expiration of the Agreement, such claims shall be covered by such claims-made policies.

11.6 **General Annual Aggregate Limit/Inclusion of Claims Investigation or Legal Defense Costs.** Should any of the required insurance be provided under a form of coverage that includes a general annual aggregate limit or provides that claims investigation or legal defense costs be included in such general annual aggregate limit, such general annual aggregate limit shall be double the occurrence or claims limits specified above.

11.7 **Lapse in Insurance.** Should any required insurance lapse during the term of this Agreement, requests for reimbursement originating after such lapse may not be processed, in the City's sole discretion, until the City receives satisfactory evidence of reinstated coverage as required by this Agreement, effective as of the lapse date. If insurance is not reinstated, the City may, at its sole option, terminate this Agreement effective on the date of such lapse of insurance.

11.8 **Evidence of Insurance.** Before commencing any operations or expending any Grant Funds under this Agreement, OAKLAND shall furnish to City certificates of insurance and additional insured policy endorsements with insurers with ratings comparable to A-, VIII or higher, that are authorized to do business in the State of California, and that are satisfactory to City, in form evidencing all coverages set forth above. Failure to maintain insurance shall constitute a material breach of this Agreement.

11.9 **Effect of Approval.** Approval of the insurance by City shall not relieve or decrease the liability of OAKLAND hereunder.

11.10 **Insurance for Subcontractors and Evidence of this Insurance.** If a subcontractor or subgrantee will be used to complete any portion of this Agreement, OAKLAND shall ensure that the subcontractor or subgrantee shall provide all necessary insurance and shall name the City and County of San Francisco, its officers, agents and employees and the OAKLAND as additional insureds.

11.11 **Authority to Self-Insure.** Nothing in this Agreement shall preclude OAKLAND from self-insuring all or part of the insurance requirement in this Article. However, OAKLAND shall provide proof of self-insurance, in a form acceptable to San Francisco, in the amounts of each line of self-insurance.



## ARTICLE 12 COMPLIANCE

12.1 **Nondiscrimination.** In the performance of this Agreement, OAKLAND agrees not to discriminate against any employee, San Francisco employee working with OAKLAND or any subgrantee of OAKLAND, applicant for employment with OAKLAND or subgrantee of OAKLAND, or against any person seeking accommodations, advantages, facilities, privileges, services, or membership in all business, social, or other establishments or organizations, on the basis of the fact or perception of a person's race, color, creed, religion, national origin, ancestry, age, height, weight, sex, sexual orientation, gender identity, domestic partner status, marital status, disability or Acquired Immune Deficiency Syndrome or HIV status (AIDS/HIV status), or association with members of such protected classes, or in retaliation for opposition to discrimination against such classes.

12.2 **Conflict of Interest.** Through its execution of this Agreement, OAKLAND acknowledges that it is familiar with the provisions of Section 87100 et seq. and Section 1090 et seq. of the Government Code of the State of California, and certifies that it does not know of any facts which constitutes a violation of said provisions and agrees that it will immediately notify City if it becomes aware of any such fact during the term of this Agreement. OAKLAND agrees that it will promptly notify City in writing of all violations of State or Federal criminal law involving fraud, bribery, or gratuities affecting or involving the use of Grant Funds.

12.3 **Compliance with ADA.** OAKLAND acknowledges that, pursuant to the ADA, programs, services and other activities provided by a public entity to the public, whether directly or through a grantee or contractor, must be accessible to the disabled public. OAKLAND shall not discriminate against any person protected under the ADA in connection with all or any portion of the Grant Plan and shall comply at all times with the provisions of the ADA.

12.4 **Prohibition on Political Activity with City Funds.** In accordance with San Francisco Administrative Code Chapter 12.G, OAKLAND may not participate in, support, or attempt to influence any political campaign for a candidate or for a ballot measure (collectively, "Political Activity") in the performance of the services provided under this Agreement. OAKLAND agrees to comply with San Francisco Administrative Code Chapter 12.G and any implementing rules and regulations promulgated by San Francisco's Controller. The terms and provisions of Chapter 12.G are incorporated herein by this reference. In the event Contractor violates the provisions of this section, San Francisco may, in addition to any other rights or remedies available hereunder, (i) terminate this Agreement, and (ii) prohibit OAKLAND from bidding on or receiving any new City contract for a period of two (2) years. The Controller will not consider OAKLAND's use of profit as a violation of this section.

12.5 **Submitting False Claims; Monetary Penalties.** Pursuant to San Francisco Administrative Code §21.35, any contractor, subcontractor or consultant who submits a false claim shall be liable to the City for the statutory penalties set forth in that section. The text of Section 21.35, along with the entire San Francisco Administrative Code is available on the web at <http://www.municode.com/Library/clientCodePage.aspx?clientID=4201>. A contractor, subcontractor or consultant will be deemed to have submitted a false claim to the City if the contractor, subcontractor or consultant: (a) knowingly presents or causes to be presented to an officer or employee of the City a false claim or request for payment or approval; (b) knowingly makes, uses, or causes to be made or used a false record or statement to get a false claim paid or approved by the City; (c) conspires to defraud the City by getting a false claim allowed or paid by the City; (d) knowingly makes, uses, or causes to be made or used a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit money or property to the City; or (e) is a beneficiary of an inadvertent submission of a false claim to the City, subsequently discovers the falsity of the claim, and fails to disclose the false claim to the City within a reasonable time after discovery of the false claim.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be duly executed as of the date first specified herein.

CITY AND COUNTY OF SAN FRANCISCO:

CITY OF OAKLAND:

SAN FRANCISCO DEPARTMENT OF  
EMERGENCY MANAGEMENT

By:

By:

\_\_\_\_\_  
ANNE KRONENBERG  
EXECUTIVE DIRECTOR

\_\_\_\_\_  
SABRINA LANDRETH  
CITY ADMINISTRATOR

Federal Tax ID #: 94-6000384

**Approved as to Form:**

Dennis J. Herrera  
City Attorney

**Approved as to Form and Legality:**

Barbara J. Parker  
City Attorney

By:

\_\_\_\_\_  
Thomas Owen  
Deputy City Attorney

By:

\_\_\_\_\_  
Amadis Sotelo  
Deputy City Attorney

**Appendix A — Authorized Expenditures and Timelines**

ENTITY: **OAKLAND**

Total allocation to be spent on the following solution areas:

<u>UASI Project Letter and Title</u>	<u>Solution Area</u>	<u>Program Description</u>	<u>Projected Milestone Dates (to be completed on or about)</u>	<u>Deliverable Dates</u>	<u>Amount</u>
<p><b>Project A</b></p> <p><b>STRENGTHEN THE REGIONAL RISK MANAGEMENT AND PLANNING</b></p>	<p>Planning</p>	<p>Funds for Strengthen the Regional Risk Management and Planners (4.5 FTE) that will perform the following:</p> <ul style="list-style-type: none"> <li>• Continue to strengthen planning, critical infrastructure planning, and enhance recovery capabilities</li> <li>• Assist with planning, preparedness, mitigation, prevention, and response and recovery activities with a direct nexus to terrorism</li> <li>• Develop plans, operational policies, and protocols that would be implemented in the event of a terrorist incident within the City of Oakland and to ensure integration into regional planning efforts</li> <li>• Review and develop Homeland Security sector-specific assessments and critical infrastructure inspections, meetings with property owners and review of their plans</li> <li>• Work with UASI Management team related to the Risk Assessment and Capabilities (RAC) project</li> </ul>	<p>Develop an Outline of Major Topics: 60 Days From Project Start Date</p> <p>Conduct a Gaps Analysis: 120 Days From Project Start Date</p> <p>Finalize Action Plan: 150 Days From Project Start Date</p> <p>Project Completion: 365 Days From Project Start Date</p>	<p>12/31/2016</p>	<p>Not to Exceed: \$600,000</p>

		Final deadline for submittal of claims is <b>01/31/2017.</b>			
<b>Project C</b>  <b>STRENGTHEN COMMUNICATIONS CAPABILITIES</b>	Equipment	Funds for Sniper Ballistic Computer System for the Oakland Police Department. The sniper ballistic computer will provide mission critical data and imagery information that will assist Law Enforcement (LE) in preventing and responding to potential terrorist threats locally and regionally.  AEL# 04HW-01-HHCD AEL# 21GN-00-STAX  Final deadline for submittal of claims is <b>01/31/2017.</b>	Obtain Funding: 30 Days From Project Start Date  Obtain Quotes: 45 Days From Project Start Date  RFP Release: 75 Days From Project Start Date  Issuance of Purchase Order: 90 Days From Project Start Date  Receive Equipment: 300 Days From Project Start Date  Test Equipment: 330 Days From Project Start Date  System Acceptance: 345 Days From Project Start Date  Project Completion: 365 Days From Project Start Date	12/31/2016	Not to Exceed: \$28,000
<b>Project D</b>  <b>STRENGTHEN CBRNE DETECTION, RESPONSE, AND DECONTAMINATION CAPABILITIES</b>	Equipment	Funds for the Command/Control Mobile Lab Platform for Oakland Fire Department.  AEL# 12VE-00-MISS AEL# 03OE-07-ROVL AEL# 04SN-01-PTMS AEL# 04HW-01-INHW AEL# 04MD-03-DISP AEL# 21GN-00-STAX  Final deadline for submittal of claims is <b>01/31/2017.</b>	Obtain Funding: 30 Days From Project Start Date  RFP Release: 45 Days From Project Start Date  Performance Bond: 75 Days From Project Start Date  Issuance of Purchase Order: 90 Days From Project Start Date  Receive Equipment: 300 Days From Project Start Date	12/31/2016	Not to Exceed: \$350,000

			<p>Test Equipment: 330 Days From Project Start Date</p> <p>System Acceptance: 345 Days From Project Start Date</p> <p>Project Completion: 365 Days From Project Start Date</p>		
<p><b>Project D</b></p> <p><b>STRENGTHEN CBRNE DETECTION, RESPONSE, AND DECONTAMINATION CAPABILITIES</b></p>	Equipment	<p>Funds for the Sniper Team Equipment-Camera Systems for Oakland Police Department.</p> <p>AEL# 03SR-03-SCAM AEL# 04MD-03-DISP AEL# 04MD-01-IREC AEL# 21GN-00-STAX</p> <p>Final deadline for submittal of claims is <b>01/31/2017.</b></p>	<p>Obtain Funding: 30 Days From Project Start Date</p> <p>Obtain Quotes: 45 Days From Project Start Date</p> <p>RFP Release: 75 Days From Project Start Date</p> <p>Issuance of Purchase Order: 90 Days From Project Start Date</p> <p>Receive Equipment: 300 Days From Project Start Date</p> <p>Test Equipment: 330 Days From Project Start Date</p> <p>System Acceptance: 345 Days From Project Start Date</p> <p>Project Completion: 365 Days From Project Start Date</p>	12/31/2016	Not to Exceed: \$25,000
<p><b>Project D</b></p> <p><b>STRENGTHEN CBRNE DETECTION, RESPONSE, AND DECONTAMINATION CAPABILITIES</b></p>	Equipment	<p>Funds for the Sniper Team Equipment-Specialized Optics for Oakland Police Department.</p> <p>AEL# 03OE-02-BNOC AEL# 21GN-00-STAX</p> <p>Final deadline for submittal of claims is <b>01/31/2017.</b></p>	<p>Obtain Funding: 30 Days From Project Start Date</p> <p>Obtain Quotes: 45 Days From Project Start Date</p> <p>RFP Release: 75 Days From Project Start Date</p>	12/31/2016	Not to Exceed: \$25,000

			<p>Issuance of Purchase Order: 90 Days From Project Start Date</p> <p>Receive Equipment: 300 Days From Project Start Date</p> <p>Test Equipment: 330 Days From Project Start Date</p> <p>System Acceptance: 345 Days From Project Start Date</p> <p>Project Completion: 365 Days From Project Start Date</p>		
<p><b>Project F</b></p> <p><b>STRENGTHEN EMERGENCY PLANNING AND CITIZEN PREPAREDNESS CAPABILITIES</b></p>	Equipment	<p>Funds for Web EOC Maintenance and Support.</p> <p>AEL# 04AP-05-CDSS AEL# 21GN-00-MAIN</p> <p>Final deadline for submittal of claims is <b>01/31/2017.</b></p>	<p>Obtain Quotes: 30 Days From Project Start Date</p> <p>Contract Award: 60 Days From Project Start Date</p> <p>Issuance of Purchase Order: 75 Days From Project Start Date</p> <p>Execute Maintenance Agreement: 90 Days From Project Start Date</p> <p>Conduct In Service Training As Necessary: 300 Days From Project Start Date</p> <p>Project Completion: 365 Days From Project Start Date</p>	12/31/2016	Not to Exceed: \$22,000
		<b>TOTAL ALLOCATION</b>			<b>NOT TO EXCEED: \$1,050,000</b>

## **PLANNING**

### *Reimbursement for Planning Requires:*

- **Personnel** – Prior to any expenditure for personnel, OAKLAND must submit completed job descriptions to the UASI detailing the planning activities the personnel will complete and the deliverables to be produced. Prior to reimbursement, OAKLAND must submit the following: all functional time sheets, payroll documentation showing payment of salaries and benefits, or cancelled checks; work product or certification that work was completed including a statement of completed activities.
- **Contracts** – All contracts must be pre-approved by the UASI prior to execution. In addition, OAKLAND must satisfy the following guidelines:
  - Procurement of contractual services must follow local policies and procedures for competitive purchasing (provided they are not in conflict with Federal regulations which supersede them). If sole source approval is needed, OAKLAND must transmit a sole source request to the UASI for submission to the State.
  - The contract must have a clearly stated scope of work and deliverables, deadlines for completion of work, and a schedule of contract payments.
  - All services must be performed and paid within the grant performance period.
- **Travel** - travel for planning activities must be pre-approved in accordance with the Bay Area UASI Travel Policy (adopted by the Approval Authority in September 2011) prior to scheduling. Invoices must include all backup documentation, including conference agendas, programs, brochures, lodging receipts, per diem calculations, airfare receipts/boarding passes, mileage calculations, other transportation receipts, and proof of payment.

## **EQUIPMENT**

### *Reimbursement for Equipment Requires:*

- An approved EHP memo, if applicable.
- A performance bond is required for any equipment item that exceeds \$250,000, or for any vehicle, aircraft, or watercraft, regardless of the cost. Failure to obtain and submit a performance bond to the UASI may result in disallowance of cost.
- As allowable under Federal guidelines, procurement of equipment must follow local policies and procedures for competitive purchasing (provided they are not in conflict with Federal regulations which supersede them). If sole source approval is needed, OAKLAND must transmit the request to the UASI for request to the State.
- Prior to reimbursement, OAKLAND must submit all invoices, AEL numbers, and a list of all equipment ID numbers and the deployed locations.
- OAKLAND must inventory, type, organize and track all equipment purchased in order to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.

- 
- All requests for reimbursements must be submitted by January 31, 2017, unless an earlier deadline is set in this Appendix. OAKLAND should submit reimbursement requests on a quarterly basis, as applicable.
  - Authorized expenditures must fall into one of the following categories: Planning, Organization, Equipment, Training, or Exercises. Descriptions of authorized expenditures are in the following documents:
  - FY 2015 Homeland Security Grant Program Notice of Funding Opportunity: [http://www.fema.gov/media-library-data/1429291822887-7f203c9296fde6160b727475532c7796/FY2015HSGP\\_NOFO\\_v3.pdf](http://www.fema.gov/media-library-data/1429291822887-7f203c9296fde6160b727475532c7796/FY2015HSGP_NOFO_v3.pdf)
  - California Supplement to the Federal Funding Opportunity Announcement, dated July 2015, available at <http://www.caloes.ca.gov/GrantsManagementSite/Documents/FY%202015-%20HSGP%20State%20Guidance.pdf> as "FY 2015 Homeland Security Grant Program California State Supplement to the Federal Notice of Funding Opportunity."
  - Authorized Equipment List: <http://beta.fema.gov/authorized-equipment-list>
  - Department of Justice Grants Financial Guide: [http://ojp.gov/financialguide/DOJ/pdfs/2015\\_DOJ\\_FinancialGuide.pdf](http://ojp.gov/financialguide/DOJ/pdfs/2015_DOJ_FinancialGuide.pdf)
  - Cal OES Rules and Regulations, including the Recipient Handbook: <http://www.caloes.ca.gov/GrantsManagementSite/Documents/2014%20Recipient%20Handbook.pdf>
  - **Any equipment purchased under this Agreement must match the UASI 2015 Grant Application Workbook. Any modification to the inventory list in that Workbook must receive prior written approval from by the Bay Area UASI Program Manager.**
  - **No Management and Administration expenses are allowed, unless expressly identified and authorized in this Appendix.**
  - **Sustainability requirements may apply to some or all of the grant funded projects or programs authorized in this Appendix. See Agreement, ¶13.12.**
  - **All EHP documentation must be submitted and approved prior to any expenditure of funds requiring EHP submission.**



## Appendix B-- Grant Assurances

Name of Jurisdiction: CITY OF OAKLAND

Name of Authorized Agent: Cathey Eide, Acting Director of OES and Homeland Security

Address: Oakland Fire Department, 1605 Martin Luther King, Jr. Way, 2<sup>nd</sup> Floor

City: Oakland State: California Zip Code: 94612

Telephone Number: (510) 755-5843

Fax Number: (510) 986-2821

E-Mail Address: CEide@oaklandnet.com

**As the duly authorized representative of OAKLAND, I hereby certify that OAKLAND has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay any non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application, within prescribed timelines.**

**I further acknowledge that OAKLAND is responsible for reviewing and adhering to all requirements within the:**

- (a) Applicable Federal Regulations (see below);
- (b) Federal Program Notice of Funding Opportunity (NOFO);
- (c) California Supplement to the NOFO; and
- (d) Federal and State Grant Program Guidelines.

### **Federal Regulations**

Government cost principles, uniform administrative requirements and audit requirements for federal grant programs are housed in Title 2, Part 200 of the Code of Federal Regulations (CFR) and in updates issued by the Office of Management and Budget (OMB) on <http://www.whitehouse.gov/omb/>.

**Significant state and federal grant award requirements (some of which appear in the documents listed above) are called out below. OAKLAND hereby agrees to comply with the following:**

#### **1. Proof of Authority**

OAKLAND will obtain written authorization from the city council, governing board or authorized body in support of this project. This written authorization must specify that OAKLAND and the city council, governing board or authorized body agree:

- (a) To provide all matching funds required for said project and that any cash match will be appropriated as required.
- (b) That any liability arising out of the performance of this agreement shall be the responsibility of OAKLAND and the city council, governing board or authorized body.

- (c) That grant funds shall not be used to supplant expenditures controlled by the city council, governing board or authorized body.
- (d) That the official executing this agreement is, in fact, authorized to do so.

This Proof of Authority must be maintained on file and readily available upon demand.

## **2. Period of Performance**

OAKLAND will initiate work after approval of the award and complete all work within the period of performance specified in the grant.

## **3. Lobbying and Political Activities**

As required by Section 1352, Title 31 of the U.S. Code (U.S.C.), for persons entering into a contract, grant, loan or cooperative agreement from an agency or requests or receives from an agency a commitment providing for the United States to insure or guarantee a loan, OAKLAND certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

OAKLAND will also comply with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and §§7324- 7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

Finally, OAKLAND agrees that Federal funds will not be used, directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation or policy without the express written approval from the California Governor's Office of Emergency Services (Cal OES) or the Federal awarding agency.

## **4. Debarment and Suspension**

As required by Executive Orders (EO) 12549 and 12689, and 2 CFR §200.212 and codified in 2 CFR Part 180, Debarment and Suspension, OAKLAND will provide protection against waste, fraud and abuse by debarring or suspending those persons deemed irresponsible in their dealings with the Federal government. OAKLAND certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default.

Where OAKLAND is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

#### **5. Non-Discrimination and Equal Employment Opportunity**

OAKLAND will comply with all Federal statutes relating to non-discrimination. These include, but are not limited to, the following:

- (a) Title VI of the Civil Rights Act of 1964 (Public Law (P.L.) 88-352 and 42 U.S.C. §2000d et. seq.) which prohibits discrimination on the basis of race, color or national origin and requires that recipients of federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services;
- (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex;
- (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps;
- (d) Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to ADA (42 U.S.C. 12101, et seq.);
- (e) Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age;
- (f) Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended (P.L. 96-181), relating to nondiscrimination on the basis of Treatment or recovery from drug abuse;
- (g) Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
- (h) Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
- (i) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
- (j) EO 11246, which prohibits federal contractors and federally assisted construction

contractors and subcontractors, who do over \$10,000 in Government business in one year from discriminating in employment decisions on the basis of race, color, religion, sex, or national origin;

- (k) EO 11375, which bans discrimination on the basis of sex in hiring and employment in both the United States federal workforce and on the part of government contractors;
- (l) California Public Contract Code §10295.3, which addresses discrimination based on domestic partnerships;
- (m) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and
- (n) The requirements of any other nondiscrimination statute(s) which may apply to the application.

In addition to the items listed in (a) through (n), OAKLAND will comply with California's Fair Employment and Housing Act (FEHA). FEHA prohibits harassment and discrimination in employment because of race, color, religion, sex, gender, gender identity, gender expression, sexual orientation, marital status, national origin, ancestry, mental and physical disability, medical condition, age, pregnancy, denial of medical and family care leave, or pregnancy disability leave (California Government Code sections 12940, 12945, 12945.2) and/or retaliation for protesting illegal discrimination related to one of these categories, or for reporting patient abuse in tax supported institutions.

#### **6. Drug-Free Workplace**

As required by the Drug-Free Workplace Act of 1988 (41 U.S.C. §701 et seq.), OAKLAND certifies that it will or will continue to provide a drug-free workplace and a drug-free awareness program as outlined in the Act.

#### **7. Environmental Standards**

OAKLAND will comply with State and Federal environmental standards which may be prescribed pursuant to the following, as applicable:

- (a) California Environmental Quality Act (CEQA) (California Public Resources Code §§21000- 21177), to include coordination with the city or county planning agency;
- (b) CEQA Guidelines (California Code of Regulations, Title 14, Division 6, Chapter 3, §§15000- 15387);
- (c) Federal Clean Water Act (CWA) (33 U.S.C. §1251 et seq.), which establishes the basic structure for regulating discharges of pollutants into the waters of the United States and regulating quality standards for surface waters.
- (d) Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Orders (EO) on the Environmental Justice Act (EO 12898) and Environmental Quality (EO 11514);
- (e) Notification of Environmental Protection Agency (EPA) violating facilities pursuant to EO 11738;
- (f) Protection of wetlands pursuant to EO 11990;
- (g) Evaluation of flood hazards in floodplains in accordance with EO 11988;
- (h) Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §1451 et

- seq.);
- (i) Conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §7401 et seq.);
  - (j) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523);
  - (k) Protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205);
  - (l) Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

Finally, OAKLAND shall not be: 1) in violation of any order or resolution promulgated by the State Air Resources Board or an air pollution district; 2) subject to a cease and desist order pursuant to §13301 of the California Water Code for violation of waste discharge requirements or discharge prohibitions; or 3) finally determined to be in violation of federal law relating to air or water pollution.

#### **8. Audits**

For subrecipients expending \$750,000 or more in Federal grant funds annually, OAKLAND will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and Title 2 of the Code of Federal Regulations, Part 200, Subpart F Audit Requirements.

#### **9. Access to Records**

In accordance with 2 CFR §200.336, OAKLAND will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award. OAKLAND will require any subrecipients, contractors, successors, transferees and assignees to acknowledge and agree to comply with this provision.

#### **10. Conflict of Interest**

OAKLAND will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

#### **11. Financial Management**

##### False Claims for Payment

OAKLAND will comply with 31 U.S.C §3729 which sets forth that no subgrantee, recipient or subrecipient shall submit a false claim for payment, reimbursement or advance.

#### **12. Reporting - Accountability**

OAKLAND agrees to comply with applicable provisions of the Federal Funding Accountability and Transparency Act (FFATA) (2 CFR Chapter 1, Part 170), specifically (a) the reporting of subawards obligating \$25,000 or more in federal funds and (b) executive compensation data for first-tier subawards. This includes the provisions of FFATA, which includes requirements on executive compensation, and also requirements

implementing the Act for the non-Federal entity at 2 CFR part 25 Financial Assistance Use of Universal Identifier and Central Contractor Registration and 2 CFR part 170 Reporting Subaward and Executive Compensation Information.

OAKLAND also must comply with statutory requirements for whistleblower protections at 10 U.S.C. §2409, 41 U.S.C. §4712, and 10 U.S.C. §2324, 41 U.S.C. §4304 and §4310 and 31 U.S.C. §6101 et seq.

### **13. Human Trafficking**

OAKLAND will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. §7104) which prohibits grant award recipients or a subrecipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

### **14. Labor Standards**

OAKLAND will comply with the following federal labor standards:

- (a) Comply with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), as applicable, and the Copeland Act (40 U.S.C. §3145 and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction contracts or subcontracts.
- (b) Comply with the Federal Fair Labor Standards Act (29 U.S.C. §201 et al.) as they apply to employees of institutes of higher learning (IHE), hospitals and other non-profit organizations.

### **15. Worker's Compensation**

OAKLAND must comply with provisions which require every employer to be insured against liability for Worker's Compensation before commencing performance of the work of this Agreement, as per California Labor Code §3700.

### **16. Property-Related**

If applicable to the type of project funded by this Federal award, OAKLAND will:

- (a) Comply with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchase.
- (b) Comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires subrecipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- (c) Assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO

11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).

- (d) Comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §4831 and 24 CFR Part 35) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

#### **17. Certifications Applicable Only to Federally-Funded Construction Projects**

For all construction projects, OAKLAND will:

- (a) Not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
- (b) Comply with the requirements of the awarding agency with regard to the drafting, review and approval of construction plans and specifications.
- (c) Provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.

#### **18. Freedom of Information Act**

OAKLAND acknowledges that all information submitted in the course of applying for funding under this program or provided in the course of an entity's grant management activities which is under Federal control is subject to the Freedom of Information Act (FOIA), 5 U.S.C. §552. OAKLAND should also consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process.

#### **19. California Public Records Act**

OAKLAND acknowledges that all information submitted in the course of applying for funding under this program or provided in the course of an entity's grant management activities may be subject to the California Public Records Act (California Government Code §§6250-6276.48), which requires inspection and/or disclosure of governmental records to the public upon request, unless exempted by law.

### **HOMELAND SECURITY GRANT PROGRAM - PROGRAM SPECIFIC ASSURANCES / CERTIFICATIONS**

#### **20. Personally Identifiable Information**

Subrecipients collecting Personally Identifiable Information (PII) must have a publically-available policy that describes what PII they collect, how they plan to use the PII, whether they share PII with third parties, and how individuals may have their PII corrected where appropriate.

## **21. Disposition of Equipment**

When original or replacement equipment acquired under this award is no longer needed for the original project or program or for other activities currently or previously supported by the Department of Homeland Security/Federal Emergency Management Agency, subrecipients must request instructions from Cal OES on proper disposition of equipment.

## **22. Reporting Accusations and Findings of Discrimination**

If, during the past three years, the subrecipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the subrecipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to Cal OES for reporting to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.

If any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion or familial status against the subrecipient, or the subrecipient settles a case or matter alleging such discrimination, subrecipients must forward a copy of the complaint and findings to Cal OES for forwarding to the DHS Component and/or awarding office.

The United States has the right to seek judicial enforcement of these obligations.

## **23. Acknowledgement of Federal Funding from DHS and Use of DHS Seal, Logo and Flags**

All subrecipients must acknowledge their use of federal funding when issuing statements, press releases, requests for proposal, bid invitations, and other documents describing projects or programs funded in whole or in part with federal funds.

All subrecipients must obtain DHS's approval prior to using DHS seal(s), Logos, crests or reproductions of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

## **24. Copyright**

All subrecipients must affix the applicable copyright notices of 17 U.S.C. §§401 or 402 and an acknowledgement of Government sponsorship (including award number) to any work first produced under Federal financial assistance awards, unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations).

## **25. Energy Policy and Conservation Act**

All subrecipients must comply with the requirements of 42 U.S.C. §6201 which contain policies relating to energy efficiency that are defined in the state energy conservation plan issues in compliance with this Act.

## **26. Hotel and Motel Fire Safety Act of 1990**

All subrecipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds complies with Section 6 of the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, 15 U.S.C. §2225a.



**27. Terrorist Financing E.O. 13224**

All subrecipients must comply with U.S. Executive Order 13224 and U.S. law that prohibit transactions with, and the provisions of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of subrecipients to ensure compliance with the E.O. and laws.

**28. USA Patriot Act of 2001**

All subrecipients must comply with the requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA Patriot Act), which amends 18 U.S.C. §§175-175c.

**IMPORTANT**

The purpose of the assurance is to obtain federal and state financial assistance, including any and all federal and state grants, loans, reimbursement, contracts, etc. OAKLAND recognizes and agrees that state financial assistance will be extended based on the representations made in this assurance. This assurance is binding on OAKLAND, its successors, transferees, assignees, etc. Failure to comply with any of the above assurances may result in suspension, termination, or reduction of grant funds.

All appropriate documentation, as outlined above, must be maintained on file by OAKLAND and available for Cal OES or public scrutiny upon request. Failure to comply with these requirements may result in suspension of payments under the grant or termination of the grant or both and the subrecipient may be ineligible for award of any future grants if the Cal OES determines that any of the following has occurred: (1) the recipient has made false certification, or (2) violates the certification by failing to carry out the requirements as noted above.

All of the language contained within this document must be included in the award documents for all subawards at all tiers, including contracts under grants and cooperative agreements and subcontracts.

The undersigned represents that he/she is authorized by OAKLAND to enter into this agreement for and on behalf of OAKLAND.

Signature of Authorized Agent: \_\_\_\_\_

Printed Name of Authorized Agent: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

**Appendix C -- Form of Reimbursement Request**

**REIMBURSEMENT REQUEST**

\_\_\_\_\_, 2015

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

Re: FY 15 UASI Grant Reimbursement Request

Pursuant to Section 3.10 of the "Agreement between the City and County of San Francisco and the City of OAKLAND for the Distribution of FY 2015 UASI Grant Funds" (the "Agreement"), dated NOVEMBER 1, 2015, between the City of OAKLAND ("OAKLAND") and the City and County of San Francisco, OAKLAND hereby requests reimbursement as follows:

Total Amount of Reimbursement Requested in this Request:	\$ _____
Maximum Amount of Funds Specified in Section 3.2 of the Agreement:	\$ _____
Total of All Funds Disbursed Prior to this Request:	\$ _____

OAKLAND certifies that:

- (a) The total amount of funds requested pursuant to this Reimbursement Request will be used to reimburse OAKLAND for Authorized Expenditures, which expenditures are set forth on the attached Schedule 1, to which are attached true and correct copies of all required documentation of such expenditures.
- (b) After giving effect to the disbursement requested pursuant to this Reimbursement Request, the Funds disbursed as of the date of this disbursement will not exceed the maximum amount set forth in Section 3.2 of the Agreement, or the not to exceed amounts specified in Appendix A for specific projects and programs.

- (c) The representations, warranties and certifications made in the Agreement are true and correct in all material respects as if made on the date hereof, and OAKLAND is in compliance with all Grant Assurances in Appendix B of the Agreement. Furthermore, by signing this report, OAKLAND certifies to the best of their knowledge and belief that the report is true, complete and accurate and expenditures, disbursements, and cash receipts are for the purpose and objectives set forth in the terms and conditions of the federal award. OAKLAND is aware that any false, fictitious or fraudulent information or the omission of any material fact, may subject OAKLAND to criminal civil or administrative penalties for fraud, false statements, false claims or otherwise.
- (d) No Event of Default has occurred and is continuing.
- (e) The undersigned is an officer of OAKLAND authorized to execute this Reimbursement Request on behalf of OAKLAND.

Signature of Authorized Agent: \_\_\_\_\_

Printed Name of Authorized Agent: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

**SCHEDULE 1 TO REQUEST FOR REIMBURSEMENT**

The following is an itemized list of Authorized Expenditures for which reimbursement is requested:

Project	Payee	Amount	Description	If final claim for project, check box
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

The following are attached as part of this Schedule 1 (Please check items that are applicable):

**Planning:**

- Invoice/Payroll Charges
- Payroll Register
- Cleared Check Payment
- Job Description
- Functional Timesheets
- Deliverables/Progress Reports

**Organization:**

- Invoice/Payroll Charges
- Payroll Register
- Cleared Check Payment
- Job Description
- Functional Timesheets
- Deliverables/Progress Reports

**Equipment:**

- Invoice
- Cleared Check Payment
- Purchase Order
- Packing Slip
- EHP Approval
- EOC Approval
- Watercraft or Aviation
- Sole Source
- Performance Bond
- Equipment Ledger (Please submit electronic copy to Grants Specialist)

**Training:**

- Invoice
- Cleared Check Payment
- Training Feedback Number
- EHP Approval
- Certificates/Proof of Participation
- Sign In Sheet
- Agenda

**Exercise:**

- Invoice
- Cleared Check Payment
- After Action Report
- EHP Approval
- Overtime Authorization

For inquiries/questions, please contact:

\_\_\_\_\_ Phone #: \_\_\_\_\_ Email: \_\_\_\_\_  
 Print Name

FILED  
OFFICE OF THE CITY CLERK  
OAKLAND

2015 NOV 19 PM 2:05

OAKLAND CITY COUNCIL

Approved as to Form and Legality

  
City Attorney

RESOLUTION No. \_\_\_\_\_ C.M.S.

Introduced by Councilmember \_\_\_\_\_

**RESOLUTION AUTHORIZING THE CITY ADMINISTRATOR OR HER DESIGNEE TO:**

1. ENTER INTO THE URBAN AREA SECURITY INITIATIVE (UASI) GRANT ADMINISTRATION AGREEMENT WITH THE CITY AND COUNTY OF SAN FRANCISCO TO ACCEPT AND APPROPRIATE UP TO ONE MILLION ONE HUNDRED THOUSAND DOLLARS (1,100,000.00) FOR FEDERAL FISCAL YEAR 2015 UASI GRANT FUNDS; AND
2. ACCEPT, APPROPRIATE, AND ADMINISTER SAID UASI FEDERAL GRANT FUNDS; AND
3. APPROVE THE 2015 UASI RECOMMENDED PROPOSED SPENDING PLAN AND AUTHORIZE A CONTRIBUTION FROM THE GENERAL PURPOSE FUND IN AN AMOUNT EQUIVALENT TO CENTRAL SERVICES OVERHEAD (CSO) CHARGES AFFILIATED WITH SAID GRANT ESTIMATED AT THIRTY-ONE THOUSAND ONE HUNDRED NINETY FIVE DOLLARS (\$31,195.00) FOR FISCAL YEAR 2015-16 AND THIRTY-SEVEN THOUSAND FOUR HUNDRED THIRTY THREE DOLLARS (\$37,433.00) FOR FISCAL YEAR 2016-17; AND
4. EXPEND FUNDS IN ACCORDANCE WITH SAID RECOMMENDED PROPOSED SPENDING PLAN WITHOUT FURTHER COUNCIL APPROVAL PROVIDED THE CITY'S HIRING AND CONTRACTING REQUIREMENTS AND PROGRAMS/POLICIES ARE FOLLOWED.

**WHEREAS,** the United States Department of Homeland Security ("DHS") consolidated the separate San Jose, Oakland, and San Francisco Urban Areas into a combined Bay Area Urban Area ("UASI Region") for the purpose of application for and allocation and distribution of federal Urban Areas Security Initiative ("UASI") program grant funds; and

**WHEREAS,** the Bay Area Urban Area Approval Authority ("Approval Authority") was established as the Urban Area Working Group ("UAWG") for the UASI Region, to provide overall governance of the homeland security grant program across the UASI Region, to coordinate development and implementation of all UASI program initiatives, and to ensure compliance with all UASI program requirements; and

**WHEREAS,** the City and County of San Francisco is the Fiscal Agent for the FY 2015 UASI grant award and an agreement with the City and County of San Francisco is required for the distribution, administration, and reimbursement of grant funds to the City of Oakland; and

**WHEREAS,** the City of Oakland FY2015 UASI grant proposal was approved by the Bay Area

UASI Approval Authority and the City of Oakland has been awarded a grant allocation of one million fifty thousand dollars (\$1,050,000), for Fiscal Year (FY) 2015 UASI as part of an investment for the regional planning, training, exercises, equipment, interoperable communications projects and initiatives; and

**WHEREAS,** additional grant funds may be allocated or disbursed to Oakland up to fifty thousand dollars (\$50,000) to be expended for specific training, workshops and related travel costs awarded through the UASI Training and Exercise Program; and

**WHEREAS,** the authorized expenditures up to \$600,000 under project "A" of the recommended proposed spending plan (all projects referenced herein are provided in "Attachment A" of the accompanying Agenda Report) include the funding and support of four and a half (4.5) full-time equivalent (FTE) positions for the Oakland Fire Department's Emergency Management Services Division, for the FY 2015 UASI grant period of November 1, 2015 through February, 2017, or until funding is exhausted; and

**WHEREAS,** for the Fire Department, Emergency Management Services Division staffing is essential to ensure that Oakland is prepared for major emergency incidents and natural disasters as well as to support the regional planning efforts and functions; and

**WHEREAS,** the FY 2015 UASI grant will also provide a grant subsidy for an existing Accountant II position in the Oakland Fire Department, Fire Administration staff who will spend 10% of their time as a Resource Planner for the FY 2015 UASI grant program to assist in maximizing resources, budget and human capital; and

**WHEREAS,** the Fire Department is requesting a contribution from the General Purpose Fund for Central Services Overhead charges estimated at \$31,195 for FY2015-16 and \$37,433 for FY2016-17 and Purchasing and Contract Compliance internal service fees associated with this grant, to ensure funding availability for grant expenses and to meet local grant concessions; and

**WHEREAS,** the authorized expenditures up to twenty-eight thousand dollars (\$28,000) in the recommended proposed spending plan under project "C" are for the purchase of equipment for the Oakland Police Department Sniper Ballistic Computer System; and

**WHEREAS,** upon approval of the budget modification submitted to the UASI fiscal agent by the City, for the Oakland Fire Department Self Contained Breathing Apparatus Enhancement project to replace the original projects identified in project "D" in the recommended proposed spending plan, which are the Hazardous Materials Platform Lab, the Sniper Team Equipment-Camera Systems, and the Sniper Team Equipment-Specialized Optics; and

**WHEREAS,** the recommended expenditures of up to four hundred thousand dollars (\$400,000) are for the purchase of equipment for the Oakland Fire Department Self Contained Breathing Apparatus (SCBA) Enhancement Project as identified in the report under project "D" of the recommended proposed spending plan; and

**WHEREAS,** the authorized expenditures of up to twenty-two thousand dollars (\$22,000) in the recommended proposed spending plan under project "F" are to be expended for the maintenance and support for the Emergency Management Software "WebEOC"; and

**WHEREAS**, all equipment in approved and recommended projects are identified on the Federally Authorized Equipment List (“AEL”) as required by the UASI FY15 grant guidelines; and

**WHEREAS**, some expenditures on the FY 2015 UASI recommended proposed spending plan may exceed the City Administrator’s purchasing authority, which is \$100,000.00, \$50,000.00 or \$15,000.00 depending on the type of product or service under Oakland’s Purchasing Ordinance, Oakland Municipal Code section 2.04.020; and

**WHEREAS**, staff recommends that the City Administrator or her designee be authorized to make all purchases and enter into contracts identified on the FY 2015 UASI recommended proposed spending plan as identified in the report and without further review or action by the City Council, provided all such purchases and contracts are done in accordance with the City of Oakland’s hiring, purchasing and contracting requirements, policies, programs, and following the recommended spending plan in the report that includes project “D” modifications pending approval by the UASI Fiscal Agent; and

**WHEREAS**, the City of Oakland is committed to cooperating with our regional partners to detect, prevent, prepare for, respond to, and recover from human-caused and natural disasters and to effectively carry out the programs of the FY 2015 UASI grant and to sustain programs made with previous years’ UASI grants; now, therefore be it

**RESOLVED:** that the City Council authorizes the City Administrator or her designee to enter into the Bay Area UASI Grant Administration Agreement with the City and County of San Francisco for up to one million fifty thousand dollars (\$1,050,000) for FY 2015 UASI Grant funds; and be it

**FURTHER RESOLVED:** that the City Administrator or her designee is authorized to accept appropriate, and administer an additional fifty thousand dollars (\$50,000) for FY 2015 UASI Grant funds for specific training, workshops and related travel costs awarded through the UASI Training and Exercise Program; and be it

**FURTHER RESOLVED:** that the City Administrator or her designee is authorized to accept, appropriate, and administer said FY 2015 UASI Grant funds into U.S. Department of Homeland Security Fund (2123), Emergency Management Services Division Organization (20711), a grant project to be determined, and Emergency Management Services/Homeland Security Program (PS21); and be it

**FURTHER RESOLVED:** that the City Administrator or her designee is authorized to approve allocations up to six hundred thousand dollars (\$600,000) in the recommended proposed spending plan under project “A”, and that the spending plan includes the funding and support of four and a half (4.5) full-time equivalent (FTE) positions, a 10% offset for one Accountant II position, for the FY2015 UASI grant period of November 1, 2015 through February 28, 2017, or until the grant funding is exhausted; and be it

**FURTHER RESOLVED:** that the City Administrator or her designee is authorized to approve allocations up to twenty-eight thousand dollars (\$28,000) in the recommended proposed spending plan under project “B” for the purchase of equipment for the Oakland Police Department for the Sniper Ballistic Computer System; and be it

**FURTHER RESOLVED:** that the City Administrator or her designee is authorized to approve allocations up to four hundred thousand dollars (\$400,000) in the recommended proposed spending plan under project "D" for the purchase of equipment for the Oakland Fire Department Self Contained Breathing Apparatus (SCBA) Enhancement Project; and be it

**FURTHER RESOLVED,** that the City Administrator or her designee is authorized to approve allocations up to twenty-two thousand dollars (\$22,000) under project "F" in the recommended proposed spending plan for the Maintenance and Support for the Emergency Management Software "WebEOC"; and be it

**FURTHER RESOLVED:** that the City Administrator or her designee is authorized to offset all Central Services Overhead charges in an estimated amount of \$31,195 for FY2015-16 and \$37,433 for FY2016-17 and Purchasing and Contract Compliance internal service fees associated with this grant by approving a contribution of the General Purpose Fund to ensure availability for grant expenses and to meet local grant guidelines; and be it

**FURTHER RESOLVED:** that the City Administrator or her designee is authorized to make all purchases of equipment and services identified in the FY 2015 UASI recommended spending plan identified in the report without further review or action by the City Council, including purchases that exceed the City Administrator's purchasing and contracting authority under Oakland Municipal Code section 2.04.020, provided all such purchases and contracts are done in accordance with City of Oakland purchasing and contracting requirements, policies, and programs; and be it

**FURTHER RESOLVED:** that all contracts authorized hereunder shall be approved for form and legality by the Office of the City Attorney and placed on file in the Office of the City Clerk.

IN COUNCIL, OAKLAND, CALIFORNIA, \_\_\_\_\_

**PASSED BY THE FOLLOWING VOTE:**

AYES - BROOKS, CAMPBELL WASHINGTON, GALLO, GUILLEN, KALB, KAPLAN, REID, AND PRESIDENT GIBSON MCELHANEY

NOES -

ABSENT -

ABSTENTION -

ATTEST: \_\_\_\_\_

LaTonda Simmons  
City Clerk and Clerk of the Council  
of the City of Oakland, California