



U.S. DEPARTMENT OF HOMELAND SECURITY

Fiscal Years 2007 & 2008

**REGIONAL CATASTROPHIC PREPAREDNESS
GRANT PROGRAM**

GUIDANCE AND APPLICATION KIT

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INTRODUCTION

The National Academy for Public Administration described emergency preparedness planning as the “*Achilles Heel of homeland security*.”¹ Homeland security is highly distributed, and depends on State and local governments for the majority of the Nation’s security and resilience resources. This increases our reliance on the quality and currency of our plans and collaborative planning.

We must ensure that our planning practices are not outmoded and encumbered by hierarchical, compartmentalized processes that inhibit networking, interaction and collaboration. We must also ensure that planning cycles are not too long and inflexible to keep up with rapidly changing requirements and that authoritative data is not stove-piped and is readily accessible to planners.

The Department of Homeland Security (DHS) conducted a *Nationwide Plan Review*² in 2006 at the direction of the President and Congress. Peer review teams visited all 56 U.S. States and Territories and 75 of the Nation’s largest urban areas. 1,086 public safety and homeland security officials were consulted and 2,757 emergency operations plans and related documents were evaluated. The *Review* outlined 15 conclusions for States and Urban Areas and 24 for the Federal government. The Department provided participants with detailed individual reports and encouraged them to translate the findings and conclusions into specific, corrective actions.

Ninety-five percent of the *Review* participants cited requirements for comprehensive planning support and technical assistance. This underscored the *Review*’s conclusions regarding the need for planning modernization to improve the flexibility, adaptability and robustness of individual emergency operations plans (EOPs) and to strengthen collaborative planning.

States and Urban Areas have already begun planning modernization. Of the 37 categories of grant projects in the DHS/Federal Emergency Management Agency (FEMA) December 2006 Biannual Strategy Implementation Report (BSIR), planning ranked second (following interoperable communications). For Fiscal Year (FY) 2007 Homeland Security Grant Program funding requests, States and Urban Areas (respectively) ranked planning as the second and third highest funding expenditure priority. The emphasis on planning is also reflected in the September 2007 National Preparedness Guidelines.

The Regional Catastrophic Preparedness Grant Program (RCPGP) focuses on highest risk Urban Areas and surrounding regions where its impact will have the most significant effect on our Nation’s collective security and resilience. It will complement ongoing State and Urban Area efforts, address Post-Katrina Emergency Management Reform Act (PKEMRA) mandates, and support initiatives underway within FEMA’s Disaster

¹ Managing Intergovernmental Relations for Homeland Security, NAPA, February 2004.

² Nationwide Plan Review Phase 2 Report, June 16, 2006.

Operations (DOP), Disaster Assistance (DAD), Mitigation and Logistics Directorates, the DHS Incident Management Planning Team (IMPT), the DHS Office of Infrastructure Protection and other Federal planning and preparedness agencies.

RCPGP is one tool among a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the Nation against risks associated with catastrophic events.

The purpose of this package is to provide: (1) an overview of the RCPGP; and (2) the formal grant guidance and application materials needed to apply for funding under the program. The package outlines FEMA management requirements for a successful application. It also reflects changes called for in the Implementing Recommendations of the 9/11 Commission Act of 2007 (hereafter “9/11 Act”).

Making an application for significant Federal funds under programs such as this can be complex. Our job at FEMA is to provide clear guidance and efficient application tools to assist applicants. Our customers are entitled to effective assistance during the application process, and transparent, disciplined management controls to support grant awards. We intend to be good stewards of precious Federal resources, and commonsense partners with our state and local colleagues.

We understand that grant applicants will have unique needs and tested experience about how best to reduce risk locally. Our subject matter experts will come to the task with a sense of urgency to reduce risk, but also with an ability to listen carefully to local needs and approaches. In short, we commit to respect flexibility and local innovation as we fund national homeland security priorities.

A. Federal Investment Strategy.

The RCPGP is an important part of the Administration’s larger, coordinated effort to strengthen planning and homeland security preparedness. The RCPGP implements objectives addressed in a series of post-9/11 legislation, strategies, plans and Homeland Security Presidential Directives (HSPDs).

DHS expects our State, local, and tribal partners – including recipients of RCPGP grants – to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations and investments.

In order to ensure planning initiatives are aligned with both national and regional preparedness priorities, the FEMA Regional Administrators and the Federal Preparedness Coordinators will review and approve investments before they are submitted to and reviewed at the national level.

B. Funding Priorities.

The RCPGP grantees have existing plans, planning relationships, and some standing agreements to share resources. However, recent assessments of catastrophic event planning and preparedness clearly highlight the need for improved and expanded

regional collaboration. This program will support the National Planning Scenarios as defined in the National Preparedness Guidelines, and will focus specifically on eight (8) scenarios that have been identified by the Federal government as the most urgent for planning purposes among all levels of government. These eight scenarios have been identified in Section C.

The following priorities are central objectives of the RCPGP program and need to be addressed when developing the Investment Justification.

1. Fix Shortcomings in Existing Plans. Activities within this program must address shortcomings in existing plans to address regional catastrophic planning issues. These include the establishment of a flexible, adaptable, and robust regional network of plans for each grantee to address catastrophic events. Plans will include a process for establishing an incident command structure and will also identify roles and responsibilities for each organization.

Additionally, grantees will develop plans that are consistent with both the national Integrated Planning System required by Annex I to HSPD-8 and described further in the National Response Framework (NRF). Planners should ensure that plans are not solely response-focused; as indicated in the Annex, the Nation must develop integrated and coordinated plans across the spectrum of homeland security mission areas (i.e., prevention, protection, response, and recovery) using a common planning process. Plans should be developed that identify detailed resource, personnel; and asset allocations in order to execute strategic objectives and translate strategic priorities into operational execution. These plans should apply existing capabilities and assist in assessing gaps in needed capabilities. Planning should focus on the eight (8) "Key Scenario Sets" in concert with a hazard identification / risk assessment process as identified in the NRF. Additionally, these plans and the related assessments should support the overall national preparedness assessment system identified in HSPD-8. Please see Section C on page 6 for additional information.

Grantees are also expected to employ a process that identifies and addresses conflicts, omissions, and disparities between two or more plans that will be simultaneously executed for one incident, but do not have a common "owner" or "parent plan" to integrate and synchronize operations. The planning process must clarify and document authorities, roles and responsibilities; ensure the scope and concept of operations of the collective plans are sufficient to accomplish the range of assigned tasks and missions; validate planning assumptions; and synchronize resource requirements to ensure that the same resource is not dual allocated across multiple plans. Grantees are also expected to use a "bridging" mechanism such as an integrated execution timeline or a synchronization matrix³ to ensure respective operational actions are synchronized in purpose, place and time. Finally, plans must both meet or exceed the consensus guidelines established in the Nationwide Plan Review (Phase 2 Nationwide Plan Review Report, 1 June 2006, Appendix C, "Peer Review Template") and integrate prevention and protection activities where appropriate.

³ A synchronization matrix synchronizes operational tasks by displaying them on a matrix that depicts functions on one side and the operational phases, or time on the other.

Areas of priority concern⁴ for this focus include:

- Integration of prevention and protection activities into regional planning.
- *Mass Evacuation and Sheltering*, with particular emphasis on special needs/special medical needs populations.
- *Resource / Commodity Management*, with particular emphasis on National Incident Management System (NIMS) standardized mechanisms and processes to describe, inventory, mobilize, dispatch, track, and recover resources (including volunteer/donations management [i.e. affiliated volunteer surge capacity and management of spontaneous volunteers]) over both the life cycle and regional or national scope of an incident, taking into account both at-risk and host jurisdictions/states.
- *Critical Infrastructure Protection*, with particular emphasis on Explosive Device Response Operations.
- *Hazard identification and risk assessment*.
- *Health and medical services* for catastrophic events.

Specific deliverables shall include:

- Development of a Regional Operations or Coordination Plan which addresses the entire homeland security spectrum (i.e. prevention, protection, response, recovery).
- Completion and documentation of a Hazard Identification / Risk Assessment process for the region.
- Development of Annexes / Appendices to the regional plan to address one or more of the following issues:
 - Evacuation and Sheltering Operations
 - Logistics and Resource Management
 - Volunteer and Donations Management
 - Mass Casualty
 - Mass Fatality
- Documentation of the process that the region will use to coordinate protective action decisions.
- Development of a process for the coordination of prevention and protection activities throughout the region, and how those activities will be linked with response and recovery planning.

2. Build Regional Planning Process and Planning Communities. Grantees in the program are expected to establish the simplest achievable processes, networks and community that can successfully accomplish planning, preparedness, data exchange, and operational resource and asset management within Tier I Urban Areas and among regional planning partners. Grantees must ensure that these processes, networks and communities are fully integrated with other established planning efforts, such as Area

⁴ Specific shortcomings identified in evaluations and assessments such as the Nationwide Plan Review, incident or exercise after action reports, PKEMRA (e.g., Sec. 512, mass evacuation planning) and the 2007 FEMA-led Gap Analysis.

Maritime Security Plans (AMSPs) for port areas and Buffer Zone Plans (BZPs) for critical infrastructure, and Citizen Corps Councils for community preparedness.

In addressing this focus area, jurisdictions must consider the following elements:

- *Planning process.* Establishment of a set of mutually agreed to regional planning policies and procedures is established and supported by technology/tools that provides planners with a capability to plan and conduct combined homeland security operations.
- *Planning network.* Establishment of a formal means to coordinate and jointly determine the best method of accomplishing required tasks and actions necessary to accomplish roles, responsibilities and mission(s) identified in respective plans.
- *Planning community.* Establishment of a regional planning community, including parties involved in the training, preparation, operations, support, and sustainment of operations in the event of a catastrophic event.
- *Mutual aid.* Establishment or updating of mutual aid agreements which obligate communities to fulfill roles and responsibilities identified through regional planning processes and networks.
- *Trained planners.* Access to sufficient numbers of trained planners to meet and sustain planning requirements.
- *Best planning practices.* Adoption of best-of-breed planning processes, tools and technology and sharing of best practices and products on a regional and national basis.

Specific deliverables shall include:

- Establishment of a formalized governance process for regional planning and coordination that addresses both the planning process and network.
- Creating an environment, through regular working groups, workshops, etc. that ensure coordination among homeland security planners throughout the region or State.
- Regional mutual aid compacts.
- Training strategy for developing a planning capability throughout the impacted region.

3. Link Operational and Capabilities-Based Planning for Resource Allocation.

Grantees will focus on collaborative planning that will organize actions among the Urban Areas and include participating governments, and non-governmental entities to accomplish operational objectives, achieve unity of effort, and employ specific capabilities within a given time and space. Planning activities within this program will identify capability requirements (shortfalls) among grantees that establish requirements for resource allocation. These requirements will consider the needs of all grantees, including those of host communities or states that would expect to receive and provide support for evacuees from a catastrophically affected Urban Area.

Capabilities-based planning⁵ provides a common reference system to develop requirement statements (e.g., HSGP Investment Justifications). As such, grantees will be successful when capability requirements are defined, documented, analyzed, adjusted and approved to arrive at the basis for resource allocation requests, as inputs to preparedness programs, activities and services (e.g., training and exercises). Since requirements generally exceed available resources, risk must be identified and assessed, analytic decisions made, and control measures instituted and documented.

The outcome of these efforts will contribute to synchronization with Federal strategic and operational level planning and plans; formalization of roles and responsibilities in the event of a catastrophe through mutual aid, and development of the comprehensive assessment system and State Preparedness Reports required by PKEMRA.

Specifically, grantees will be expected to conduct an assessment of a select set of current capabilities in the region to determine the shortfalls and provide a specific plan of action to address those shortfalls.

C. Capabilities-based Planning and the Use of Planning Scenarios.

The key to effective planning lies in adopting an approach that avoids optimizing only for the most frequently experienced scenario, or producing plans so generic that they are devoid of detail. Planning must be as adept at addressing low probability, high consequence scenarios as it is commonly experienced situations.

No plan can be deemed feasible and no capabilities judged sufficient until they are tested against various threats, hazards, and their associated operating conditions. Using a shared set of scenarios to test plans provides a common means for comparison. Scenario selection is often the most contentious aspect of planning, and the National Planning Scenarios have been a topic of much debate over the last several years. These scenarios represent examples of the gravest dangers facing the United States, and have been accorded the highest priority for national planning. They also serve as illustrative test cases to examine plans for feasibility, adequacy, acceptability, and suitability. Planners are expected to examine combinations of scenarios that are comprehensive, relevant, analyzable, and that address the full range of homeland security operations.

For the purposes of this initiative, the shared set of scenarios will be constrained to the following categories:

- Biological Attack
- Pandemic Influenza
- Multiple simultaneous Improvised Explosive Device (IED)/Vehicle-Borne IED Attacks
- Improvised Nuclear Device, 10kt yield
- Large-scale Radiological Dispersal Device

⁵ Capabilities-based planning is described in the National Preparedness Guidelines and mandated for DHS grant programs by Title VI of PKEMRA.

- Chemical weapon attack
- Cyber attack resulting in a catastrophic impact
- Natural Disaster on a Catastrophic Scale (e.g., appropriate to the Urban Area's risk, such as a major earthquake or hurricane)

D. Regional Catastrophic Planning Team.

Grantees in this program are expected to establish a Regional Catastrophic Planning Team (RCPT) to guide and manage this effort. Comprised of representatives from State and local agencies and organizations, as well as Federal, tribal, and regional representatives, and Private Sector and Critical Infrastructure owners and operators, this group will provide strategic oversight and direction to the RCPGP projects within the jurisdiction. The inclusion of the larger Combined Statistical Area (CSA), as identified in the guidance, is for the purposes of the RCPGP program only. Thus, additional members should be included as part of the RCPT, but do not constitute a directed expansion or modification of the UAWG as previously identified. The RCPT must include local MMRS and Citizen Corps Council representatives. The RCPT will report to the UAWG.

E. Allowable Expenses.

Specific investments made in support of the funding priorities discussed above generally fall into one of three categories. RCPGP allowable costs are therefore divided into the following three categories:

1. Planning
2. Personnel
3. Management and Administration

The following grant guidance provides additional detail about each of these allowable expense categories.

PART I. AVAILABLE FUNDING AND ELIGIBLE APPLICANTS

This section summarizes the total amount of funding available under RCPGP; the basic distribution method used to administer the grants, and identifies all eligible applicants for funding.

A. Available Funding.

In FY 2007 and FY 2008, the total amount of grant funds distributed under the RCPGP will be approximately \$60 million and an additional \$8.9 million will be delivered to grantees in the form of technical assistance for a total funded support amount of \$69 million. Both FY 2007 and FY 2008 RCPGP grant funds are available for allocation through this grant package. The available funding is summarized in the table below.

Table 1 – Program Authorizations

Authorization	Funding
FY 2007 Supplemental Funding – Regional Catastrophic Preparedness Grants	\$29,000,000
FY 2007 Supplemental Funding – Technical Assistance Deliveries to Eligible Grantees	\$6,000,000
FY 2008 Omnibus Funding – Regional Catastrophic Preparedness Grants	\$31,092,500
FY 2008 Omnibus Funding – Technical Assistance Deliveries to Eligible Grantees	\$2,910,000
TOTAL	\$69,002,500

The specific information regarding funding allocations for the RCPGP program is detailed below.

1. FY 2007 Supplemental – RCPGP Grant Award Allocations.

FY 2007 supplemental funds will be allocated based on the risk of a catastrophic incident occurring in the region and the anticipated effectiveness upon completion of the application review process. Pursuant to the FY 2007 Supplemental Appropriations (P.L. 110-28), only FY 2007 Tier I Urban Areas Security Initiative (UASI) Urban Areas are eligible for this program. Each eligible Tier I Urban Area will receive a minimum allocation amount of \$4 million under the FY 2007 supplemental funds. The remaining \$5 million will be competitively allocated to one or two high-value projects submitted by the Tier I Urban Areas upon review and evaluation of the Investment Justifications.

Table 2 – FY 2007 Supplemental – RCPGP Allocations

Tier I Urban Area	FY 2007
New York City / Northern New Jersey Area (to include the New York-Newark-Bridgeport, NY-NJ-CT-PA Combined Statistical Area) ⁶	\$4,000,000
National Capitol Region (to include the Washington-Baltimore-Northern Virginia, DC-MD-VA-WV Combined Statistical Area, as well as WV and PA)	\$4,000,000
Chicago Area (to include the Chicago-Naperville-Michigan City, IL-IN-WI Combined Statistical Area)	\$4,000,000
Houston Area (to include the Houston-Baytown-Huntsville, TX Combined Statistical Area)	\$4,000,000
Los Angeles / Long Beach Area (to include the Los Angeles-Long Beach-Riverside, CA Combined Statistical Area)	\$4,000,000
Bay Area (San Jose-San Francisco-Oakland, CA Combined Statistical Area)	\$4,000,000
Competitive Allocation of Remaining Funds to Tier I Urban Areas	\$5,000,000

2. FY 2008 RCPGP Grant Award Allocations.

FY 2008 funds will be allocated based on the risk of a catastrophic incident occurring in the region and the anticipated effectiveness upon completion of the application review process. Pursuant to the Consolidated Appropriations Act of 2008 (P.L. 110-161), FY 2007 Tier I UASI Urban Areas are pre-designated as eligible for these allocations. Each Tier I Urban Area will receive a minimum allocation of \$2 million under the FY 2008 funds. Another \$6 million will be competitively allocated to one or two high-value projects submitted by Tier I Urban Areas.

Additionally, DHS has selected four (4) Tier II UASI Urban Areas to be representative of the risks, hazards, and operational structures around the nation. These four (4) Tier II Urban Areas include the Boston Area, Seattle Area, Norfolk Area, and Honolulu Area. Each of these Urban Areas will be allocated \$2 million. These Tier II Urban Areas were selected based on the criteria requirement of appropriations language to focus on all hazard and catastrophic events. Criteria also included exposure to large-scale / catastrophic terrorism threat (as defined by UASI risk formula) and the greatest significant potential for a catastrophic natural-hazard (using mitigation and other hazard

⁶ Per the FY 2008 UASI Program eligibility, the New York City and Northern New Jersey Areas are separate Tier I UASI Urban Areas. For the purposes of RCPGP, these Urban Areas are expected to work together to carry out the program goals and objectives.

identification and risk assessment data to aid in identification). Additionally, DHS identified sites where catastrophic planning did not conflict with other planning initiatives (e.g., New Madrid Seismic Zone planning effort) and could reinforce construction of the Integrated Planning System and national preparedness priorities. Approximately \$5 million will be competitively allocated to one or two additional high-value projects submitted by the four (4) designated eligible FY 2008 Tier II Urban Areas.

Table 3 – FY 2008 RCPGP Allocations

Tier I Urban Area	FY 2008
New York City / Northern New Jersey Area (to include the New York-Newark-Bridgeport, NY-NJ-CT-PA Combined Statistical Area)	\$2,000,000
National Capital Region (to include the Washington-Baltimore-Northern Virginia, DC-MD-VA-WV Combined Statistical Area, as well as WV and PA)	\$2,000,000
Chicago Area (to include the Chicago-Naperville-Michigan City, IL-IN-WI Combined Statistical Area)	\$2,000,000
Houston Area (to include the Houston-Baytown-Huntsville, TX Combined Statistical Area)	\$2,000,000
Los Angeles / Long Beach Area (to include the Los Angeles-Long Beach-Riverside, CA Combined Statistical Area)	\$2,000,000
Bay Area (San Jose-San Francisco-Oakland, CA Combined Statistical Area)	\$2,000,000
Competitive Allocation of Remaining Funds to Tier I Urban Areas	\$6,000,000

Tier II Urban Area	FY 2008
Boston Area (to include the Boston-Worcester-Manchester, MA-RI-NH Combined Statistical Area)	\$2,000,000
Seattle Area (to include the Seattle-Tacoma-Olympia, WA Combined Statistical Area)	\$2,000,000
Norfolk Area (to include the Norfolk-Virginia Beach-Newport News, VA-NC Metropolitan Statistical Area)	\$2,000,000
Honolulu Area (to include the State of Hawaii)	\$2,000,000
Competitive Allocation of Remaining Funds to the Selected Tier II Urban Areas	\$5,092,500

3. RCPGP Technical Assistance Deliveries.

Overall, approximately \$8.9 million has been set aside to provide for technical assistance deliveries to RCPGP grantees in support of the planning projects funded through these grants. This support will include:

- Direct planning support, to include conduct of planning workshops and education of planning personnel.
- Support for organizing and establishing a governance structure
- Provision for planners to support initial phase of program
- Emergency response plan synchronization
- Logistics planning, and
- Support from the Office of Bombing Prevention to address implementation of HSPD-19.

A technical assistance plan will be developed in coordination with each participating jurisdiction.

B. Eligible Applicants and Role of State Administrative Agencies.

The Governor of each State and Territory is required to designate a State Administrative Agency (SAA) to apply for and administer the funds awarded under RCPGP. The SAA is the only entity eligible formally to apply for RCPGP funds. DHS requires that the SAA be responsible for obligating RCPGP funds to local units of government and other designated recipients within 45 days after receipt of funds.⁷

In addition, to be eligible to receive FY 2008 and FY 2007 RCPGP funding, applicants must meet NIMS compliance requirements. State, Territory, Tribal, and local governments are considered to be in full NIMS compliance if they have adopted and/or implemented the FY 2007 compliance activities, as determined by the National Incident Management System Capability Assessment Support Tool (NIMSCAST) or other accepted means. Jurisdictions unable to report NIMS compliance by the end of FY 2007 can request up to 120 days additional time for the specific activity using the Corrective Action Plan (CAP) available as part of NIMSCAST. Additional information on achieving compliance is available through the FEMA National Integration Center (NIC) at <http://www.fema.gov/emergency/nims/>.

For FY 2008, the NIMSCAST will be the required means to report NIMS compliance for FY 2009 preparedness award eligibility. All State and Territory direct preparedness awardees will be required to submit their compliance assessment via the NIMSCAST by September 30, 2008. The State or Territory department/agency awardee reserves the right to determine compliance reporting requirements of their sub-awardees (locals) in order to disperse funds at the local level.

C. The Role of the FEMA Regional Offices.

⁷ As defined in the Conference Report accompanying the DHS Appropriations Act of 2008 the term “local unit of government” means “any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State.”

The Regional Administrator (RA) and the Federal Preparedness Coordinator (FPC) will play a key role in this effort. The SAA will work with the RA and the FPC within the region(s) impacted by this effort to ensure that the program activities are coordinated with other ongoing planning and preparedness initiatives. A review and endorsement of the investment justification / project plan by the RA and the FPC is required before the headquarters-level review of the grant application can begin.

The RA and the FPC will work with the grantees and FEMA Headquarters to ensure Federal interagency support is made available to the RCPT. This support will allow for vertical integration of planning activities in support of the State and local officials as well as a coordinated Federal response in the event of a catastrophic event. Finally, the FPC, on behalf of the RA, will oversee the day-to-day aspects of the cooperative agreement between FEMA and the SAA in support of this program.

PART II.

APPLICATION EVALUATION PROCESS

This section summarizes the overall timetable for the RCPGP program and core process and priorities that will be used to assess applications under the RCPGP. The next section provides detailed information about specific application requirements and the process for submission of applications.

A. Overview -- Application Deadline and Review Process.

Completed Applications must be submitted to DHS via grants.gov **no later than 11:59 PM EDT, May 1, 2008.**

Eligible applicants will submit an Investment Justification that addresses the criteria as well as specific information on what planning activities will be implemented, what outcomes will be achieved, how the program will be managed, how it would benefit the rest of the Nation, and how the activities will be coordinated with relevant State and local authorities. Allowable costs will focus on planning activities in support of this initiative's objectives. Funding could be used for hiring and training planners, establishing and maintaining a program management structure, identifying and managing projects, conducting research necessary to inform the planning process, and developing plans that bridge mechanisms/documents, protocols and procedures.

DHS will evaluate and act on applications within 90 days following close of the application period. The RCPGP will use risk-based prioritization consistent with DHS policy outlined in this Guidance document. Each applicant's final funding allocation will be determined using a combination of the results of the risk and effectiveness analyses.

The following process will be used to make awards under the program:

- Investment Justifications will be approved by the Urban Areas' respective FEMA Regional Administrator and Federal Preparedness Coordinator before national review and evaluation.
- For the competitive allocations, applications will be evaluated through a competitive process. An overview of this process will be provided at the kick-off meeting.
- FEMA National Preparedness Directorate (NPD) will perform a review of all previously reported planning-related grant projects and submitted FY 2007 investments for Tier I urban areas and participating governments to determine their contribution and/or relationship to this initiative prior to final awards.

An Investment Justification overview is provided in Appendix B.

B. Grant Application Support from DHS.

During the application period DHS will provide an opportunity for cooperative dialogue between the Department and eligible applicants through a kick-off meeting with eligible applicants. This meeting is intended to focus on reviewing program guidance and ensure a common understanding of the funding priorities, review process, and administrative requirements associated with the RCPGP, and to help in submission of projects that will have the highest impact on advancing catastrophic incident preparedness.

PART III.

PROGRAM REQUIREMENTS

This section provides detailed information about specific application requirements and the process for submission of applications.

A. General Program Requirements.

The applicable Urban Area Working Group (UAWG) will be responsible for administration of the RCPGP. In administering the program, the UAWG must work with the RCPT to comply with the following general requirements:

Grant funds. States must pass-through 97 percent of RCPGP grant funds. Any funds retained by the State on behalf of RCPGP for management and administrative purposes must be used in direct support of the RCPGP jurisdiction. States must provide documentation, upon request from the RCPGP jurisdiction, demonstrating how any RCPGP funds retained by the State are directly supporting the jurisdiction.

DHS will track the congressionally-mandated obligation of funds to local units of government through each State's Initial Strategy Implementation Plan. In addition, DHS strongly encourages the timely obligation of funds from local units of government to other subgrantees, as appropriate.

Cost-Share Requirement. RCPGP will require a cash or in-kind contribution of non-Federal funds totaling 25 percent of the proposed project total such that the Federal share of each project is 75%. The non-Federal contribution may be cash or in-kind as defined under 44 C.F.R. 13.24, which is located at http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfr13_07.html. The 75% Federal – 25% Non-Federal cost share requirement will provide greater incentive for leveraging Federal and applicant funding to address planning requirements as well as indicating an increased level of commitment towards the initiative.

Management and Administration (M&A) limits. A maximum of three percent (3%) of funds awarded may be retained by the State, and any funds retained are to be used solely for management and administrative purposes associated with the RCPGP award. States may pass through a portion of the State M&A allocation to local subgrantees to support local management and administration activities (not to exceed 3%).

B. Application Requirements.

The following steps must be completed using the on-line grants.gov system to ensure a successful application submission, however applicants should review the relevant program-specific sections of this Guidance for additional requirements that may apply.

1. **Application via [grants.gov](http://www.grants.gov).** DHS participates in the Administration's e-government initiative. As part of that initiative, all applicants must file their applications using the Administration's common electronic "storefront" -- [grants.gov](http://www.grants.gov). Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.
2. **Application deadline.** Completed Applications must be submitted to [grants.gov](http://www.grants.gov) no later than **11:59 PM EST, May 1, 2008**.
3. **Valid Central Contractor Registry (CCR) Registration.** The application process also involves an updated and current registration by the applicant. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for funding through [grants.gov](http://www.grants.gov).
4. **On-line application.** The on-line application must be completed and submitted using [grants.gov](http://www.grants.gov) after CCR registration is confirmed. The on-line application includes the following required forms and submissions:
 - Standard Form 424, Application for Federal Assistance
 - Standard Form 424B Assurances
 - Standard Form LLL, Disclosure of Lobbying Activities
 - Standard Form 424A, Budget Information
 - Certification Regarding Debarment, Suspension, and Other Responsibility Matters
 - Any additional Required Attachments

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "*Catastrophic Event Preparedness Initiative*." The CFDA number is **97.111**. When completing the on-line application, applicants should identify their submissions as new, non-construction applications.

5. **Project period.** The project period will be for a period not to exceed 24 months. Extensions to the period of performance will be considered on a case-by-case basis only through formal written requests to DHS.
6. **DUNS number.** The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within [grants.gov](http://www.grants.gov) and for CCR Registration. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-800-333-0505.
7. **Investment Justifications.** As part of the application process, applicants must develop a formal Investment Justification that addresses each initiative being proposed for funding.

Please see Appendix B as well for further guidance in preparing the Investment Justification.

8. **State Preparedness Report.** PKEMRA requires any State that receives Federal preparedness assistance to submit a State Preparedness Report to DHS. For FY 2008, the State Preparedness Report consolidates existing requirements into a single submission, including updates to the Nationwide Plans Review (NPR) Phase 1; development of the Program Evaluation Report, as required in FY 2007 HSGP; and updates to the State Program and Capability Enhancement Plan.

State Preparedness Reports must be submitted to DHS by March 31, 2008.

Receipt is a prerequisite for applicants to receive any FY 2008 DHS preparedness grant funding.

State Preparedness Reports will be marked and handled as “For Official Use Only” due to the sensitive nature of the information contained in them. DHS has established a secure internet portal at <https://odp.esportals.com/> to receive and manage all State Preparedness Reports in order to safeguard them and any information identifying potential shortcomings.

9. **Single Point of Contact (SPOC) review.** Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State SPOC, if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Executive Order 12372 can be referenced at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>.

10. Standard financial requirements.

10.1 -- Non-supplanting certification. This certification affirms that grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

10.2 -- Assurances. Assurances forms (SF-424B and SF-424D) can be accessed at http://www07.grants.gov/agencies/approved_standard_forms.jsp. It is the responsibility of the recipient of the Federal funds to understand fully and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

10.3 -- Certifications regarding lobbying, debarment, suspension, other responsibility matters and the drug-free workplace requirement. This certification, which is a required component of the on-line application, commits the

applicant to compliance with the certification requirements under 44 CFR Part 17, which contains provisions for *Government-wide Debarment and Suspension (Non-procurement)* and *Government-wide Requirements for Drug-Free Workplace (Grants)*; and 44 CFR part 18, *the New Restrictions on Lobbying*. All of these can be referenced at: http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html http://www.access.gpo.gov/nara/cfr/waisidx_00/44cfrv1_00.html.

11. Technology requirements.

11.1 -- National Information Exchange Model (NIEM). DHS requires all grantees to use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language (XML) for all RCPGP awards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>.

11.2 -- Geospatial guidance. Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). DHS encourages grantees to align any geospatial activities with the guidance available on the FEMA website at <http://www.fema.gov/government/grant/index.shtm>.

11.3 -- 28 CFR Part 23 guidance. DHS requires that any information technology system funded or supported by RCPGP funds comply with 28 CFR Part 23, Criminal Intelligence Systems Operating Policies, if this regulation is determined to be applicable.

12. Administrative requirements.

12.1 -- Freedom of Information Act (FOIA). DHS recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act (FOIA), 5. U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the DHS FOIA Office, and may likely fall within one or more of the available exemptions under the Act. The applicant is encouraged to 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. The applicant may also consult FEMA regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Sensitive Security Information (49 CFR Part 1520), as it may provide additional protection to certain classes of homeland security information.

12.2 -- Protected Critical Infrastructure Information (PCII). The PCII Program, established pursuant to the Critical Infrastructure Information Act of 2002 (CII Act), created a new framework, which enables State and local jurisdictions and members of the private sector voluntarily to submit sensitive information regarding critical infrastructure to DHS. The Act also provides statutory protection for voluntarily shared CII from public disclosure and civil litigation. If validated as PCII, these documents can only be shared with authorized users who agree to safeguard the information.

PCII accreditation is formal recognition that the covered government entity has the capacity and capability to receive and store PCII. DHS encourages all SAAs to pursue PCII accreditation to cover their state government and attending local government agencies. Accreditation activities include signing an MOA with DHS, appointing a FCII Officer, and implementing a self-inspection program. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at pcii-info@dhs.gov.

12.3 -- Compliance with Federal civil rights laws and regulations. The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

- *Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000 et. seq.* – no person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance. .
- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794* – no qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance. .
- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq.* – discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance.
- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.* – no person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of or subjected to discrimination under any program or activity receiving Federal financial assistance.

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes. The grantee is also required to submit information, as required,

to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations.

12.4 -- Services to limited English proficient (LEP) persons. Recipients of DHS financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, natural origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. The grantee is encouraged to consider the need for language services for LEP persons served or encountered both in developing their Investment Justifications and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, see <http://www.lep.gov>.

12.5 -- Integrating individuals with disabilities into emergency planning. Section 504 of the Rehabilitation Act of 1973, as amended, prohibits discrimination against people with disabilities in all aspects of emergency mitigation, planning, response, and recovery by entities receiving financial from DHS. In addition, Executive Order #13347, entitled "Individuals with Disabilities in Emergency Preparedness" signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Executive Order 13347 requires the federal government to, among other things, encourage consideration of the needs of individuals with disabilities served by State, local, and tribal governments in emergency preparedness planning.

DHS has several resources available to assist emergency managers in planning and response efforts related to people with disabilities and to ensure compliance with Federal civil rights laws:

- **Guidelines for Accommodating Individuals with Disabilities in Disaster:** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery personnel in the field. The Guidelines are available at <http://www.fema.gov/oe/reference/>.
- **Disability and Emergency Preparedness Resource Center:** A web-based "Resource Center" that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The "Resource Center" is available at <http://www.disabilitypreparedness.gov>.

- *Lessons Learned Information Sharing (LLIS)* resource page on **Emergency Planning for Persons with Disabilities and Special Needs**: A true one-stop resource shop for planners at all levels of government, non-governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with disabilities and other special needs in all phases of the emergency management cycle.

LLIS.gov is available to emergency response providers and homeland security officials from the local, state, and federal levels. To access the resource page, log onto <http://www.LLIS.gov> and click on *Emergency Planning for Persons with Disabilities and Special Needs* under *Featured Topics*. If you meet the eligibility requirements for accessing Lessons Learned Information Sharing, you can request membership by registering online.

12.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts. In accordance with the Consolidated Appropriations Act of 2008 (P.L. 110-161), all FY 2008 grant funds must comply with the following two requirements:

- None of the funds made available through shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order No. 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 (including the amendments made thereby).
- None of the funds made available shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC13212).

12.7 -- Environmental and Historic Preservation Compliance. FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA funding. FEMA, through its Environmental and Historic Preservation (EHP) Program, engages in a review process to ensure that FEMA-funded activities comply with various Federal laws including: National Environmental Policy Act, National Historic Preservation Act, Endangered Species Act, and Executive Orders on Floodplains (11988), Wetlands (11990) and Environmental Justice (12898). The goal of these compliance requirements is to protect our nation's water, air, coastal, wildlife, agricultural, historical, and cultural resources, as well as to minimize potential adverse effects to children and low-income and minority populations.

The grantee shall provide any information requested by FEMA to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact EHP resources (see Section E.8) cannot be initiated until FEMA has completed its review. Grantees may be required to provide detailed information about the project, including the following: location (street address or map coordinates); description of

the project including any associated ground disturbance work, extent of modification of existing structures, construction equipment to be used, staging areas, access roads, etc; year the existing facility was built; natural, biological, and/or cultural resources present in the project vicinity; visual documentation such as site and facility photographs, project plans, maps, etc; and possible project alternatives.

For certain types of projects, FEMA must consult with other Federal and state agencies such as the U.S. Fish and Wildlife Service, State Historic Preservation Offices, and the U.S. Army Corps of Engineers, as well as other agencies and organizations responsible for protecting natural and cultural resources. For projects with the potential to have significant adverse effects on the environment and/or historic properties, FEMA's EHP review and consultation may result in a substantive agreement between the involved parties outlining how the grantee will avoid the effects, minimize the effects, or, if necessary, compensate for the effects.

Because of the potential for significant adverse effects to EHP resources or public controversy, some projects may require an additional assessment or report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the preparation of such documents, as well as for the implementation of any treatment or mitigation measures identified during the EHP review that are necessary to address potential adverse impacts. Grantees may use RCPGP funds toward the costs of preparing such documents and/or implementing treatment or mitigation measures. Failure of the grantee to meet Federal, State, and local EHP requirements, obtain applicable permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review may jeopardize Federal funding.

For more information on FEMA's EHP requirements, SAA's should refer to FEMA's Information Bulletin #271, *Environmental Planning and Historic Preservation Requirements for Grants*.

PART IV.

ALLOWABLE COSTS GUIDANCE

The following pages outline global allowable costs. A crosswalk of allowable costs across grant programs can be found in Appendix A.

1. Planning.

Urban Areas may use RCPGP funds for planning efforts to address catastrophic events. These efforts must enable the prioritization of needs, building of capabilities, updating of preparedness strategies, allocation of resources, and delivery of preparedness programs across disciplines (e.g., law enforcement, fire, emergency medical service (EMS), public health, behavioral health, public works, agriculture, and information technology) and levels of government. Working through Citizen Corps Councils, all jurisdictions are encouraged to include non-governmental entities and the general public in planning and associated training and exercises.⁸

Examples of allowable planning costs for the individual RCPGP activities can be found at <http://www.fema.gov/grants>.

2. Personnel.

Hiring, overtime, and backfill expenses are allowable under this grant only to perform programmatic activities deemed allowable under existing guidance. Supplanting, however, is not allowed.

Up to 50 percent of the total program funds may be used to support the hiring of full or part-time personnel to conduct program activities that are allowable under RCPGP. Grantees may request that DHS issue a waiver to increase that ceiling. The ceiling on personnel costs does not apply to contractors and is in addition to eligible M&A costs and eligible hiring of intelligence analysts. Grantees may hire staff only for program management functions, not operational duties. See Appendix A for allowable hiring expenditures.

RCPGP funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.

The following are definitions for the terms as used in this grant guidance:

- **Hiring** – State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable FEMA program

⁸ Non-governmental entities include the private sector and private non-profit, faith-based, community, volunteer and other non-governmental organizations.

activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-FEMA program activities under any circumstances. Hiring will always result in a net increase of FTEs.

- **Overtime** – These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their performance of FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.
- **Backfill-related Overtime** – Also called “Overtime as Backfill,” these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to FEMA-approved activities outside their core responsibilities. Backfill-related overtime only includes the difference between the overtime rate paid and what would have otherwise been paid to the backfilling employee for regular time. Under no circumstances should the entire amount of backfill overtime expense be charged to an award. Neither overtime nor backfill expenses are the result of an increase of Full-Time Equivalent (FTE) employees.
- **Supplanting** – Replacing a currently State and/or locally budgeted position with one or more full-time employees or contracted supported in whole or in part with Federal funds.

3. Management and Administration (M&A).

A maximum of up to three percent (3%) of funds awarded may be retained by the State, and any funds retained are to be used solely for management and administrative purposes associated with the RCPGP award. States may pass through a portion of the State M&A allocation to local subgrantees to support local management and administration activities (not to exceed 3%).

PART V.

PROGRAM OVERVIEW

The Regional Catastrophic Preparedness Grant Program (RCPGP) centers on the highest risk Urban Areas and surrounding regions, where its impact will have the most significant effect on our collective security and resilience. It will complement ongoing State and Urban Area efforts, address PKEMRA mandates, and support initiatives underway within FEMA's Disaster Operations (DOP), Disaster Assistance (DAD), Mitigation and Logistics Directorates, the DHS Incident Management Planning Team (IMPT), the DHS Office of Infrastructure Protection and other Federal planning and preparedness agencies.

This initiative is provided in response to the direction by Congress to develop "all-hazard regional catastrophic event plans and preparedness" for UASI urban areas and participating governments.

The goal of this plan is to allow jurisdictions to determine how to improve their security and resilience through a process best described as "*Fix, Build, and Resource*" – that is, *fix* shortcomings in existing plans; *build* regional planning processes and planning communities; and, link operational needs identified in plans to *resource* allocation, including homeland security grant programs.

The RCPGP program is intended to enhance regional preparedness and continuity of operations efforts. Urban Areas **must** use these funds to employ regional approaches to overall preparedness to address catastrophic incidents and are encouraged to adopt regional response structures whenever appropriate. RCPGP program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, response, and recovery, and mitigation activities within the region. In some instances Urban Area boundaries cross State borders. States **must** ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the RCPGP program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, State agencies, Citizen Corps Council(s), and MMRS(s) in their program activities.

Program Requirements.

The State agency with overall responsibility for developing the State Homeland Security Strategy and administering DHS grant programs will be responsible for the administration of the RCPGP program.

1. Identify Points of Contact. The SAA must designate a specific RCPGP point of contact (POC) with the designated RCPGP Urban Area. The SAA POCs are responsible for identifying and coordinating with the POC for the UAWG. This information must be provided to DHS with the grant application.

2. Establish the RCPT. Membership in the RCPT must provide either direct or indirect representation for all the jurisdictions that comprise the defined Urban Area and Combined Statistical Area. It must also include local MMRS and Citizen Corps Council representatives. The SAA and UAWG POC must ensure that appropriate representation for the defined Urban Area is included per this guidance. DHS strongly encourages that, wherever possible, previously established local working groups should be leveraged for this purpose to ensure that UASI resources are managed in the most efficient and effective manner possible. The RCPT may also support State efforts to develop the State Preparedness Report, particularly as it relates to UASI activities. An overview of the RCPT structure and a list of members and their associated jurisdictions must be provided to DHS along with the grant application. Urban Areas must notify DHS of any updates to the RCPT structure or membership.

3. Governance. The identified jurisdiction in Part I represents the candidate Urban Area eligible to apply for funding. The UAWG and the RCPT will be responsible for coordinating development and implementation of all program initiatives. States and Urban Areas must consider including counties within which the cities reside, contiguous jurisdictions, operational areas, and mutual aid partners, as appropriate, in the governance process.

In keeping with sound project management practices, the RCPT must ensure that its approach to critical issues such as membership, governance structure, voting rights, grant management and administration responsibilities, and funding allocation methodologies are formalized in a working group charter or other form of standard operating procedure related to RCPGP governance. The charter must also outline how decisions made in RCPT meetings will be documented and shared with RCPT members. This charter must be on file with DHS prior to drawing down RCPGP funding and must be available to all RCPT members to promote transparency in decision-making related to the RCPGP program.

4. Urban Area Homeland Security Strategy. Urban Areas must utilize their Urban Area Homeland Security Strategy as the basis for requesting funds to support Investments identified in the Investment Justification. There must be a clear correlation between the goals, objectives, and priorities identified in the Urban Area Homeland Security Strategy and FY 2008 UASI program activities. In addition, the Urban Area Homeland Security Strategy must also be consistent with and supportive of the State Homeland Security Strategy and the State Preparedness Report.

5. Allocation of funds. The use and allocation of all grant funds available through the RCPGP program must focus on the investments identified in the RCPT Investment Justification. The use of funds must also be consistent with the Urban Area Homeland Security Strategy, State Homeland Security Strategy, the State Preparedness Report, the National Preparedness Guidelines, TCL and UASI program guidelines. Funds used to support Citizen Corps related efforts, such as citizen preparedness, volunteer

participation, and the integration of non-governmental resources should be coordinated with Citizen Corps Councils.

The RCPT, in coordination with the UAWG and SAA POC, must develop a methodology for allocating funding available through the program. The RCPT must reach consensus on all UASI funding allocations. If consensus cannot be reached within the 45-day time period allotted for the State to obligate funds to subgrantees, the SAA must make the allocation determination. The SAA must provide written documentation verifying consensus of the RCPT, or the failure to achieve consensus, on the allocation of funds and submit it within 45 days after the grant award date.

Any RCPGP funds retained by the State must be used in **direct** support of the RCPT jurisdictions. States must provide documentation to the UAWG upon request demonstrating how any RCPGP funds retained by the State would directly support the Urban Area.

6. Specific Deliverables. As outlined in the Priorities Section of this Guidance (pp. 2-5), the following deliverables are to be addressed as part of this initiative:

Fix Shortcomings in Existing Plans

Specific deliverables shall include:

- Development of a Regional Operations or Coordination Plan which addresses the entire homeland security spectrum (i.e. prevention, protection, response and recovery).
- Completion and documentation of a Hazard Identification / Risk Assessment process for the region.
- Development of Annexes / Appendices to the regional plan to address one or more of the following issues.
 - Evacuation and Sheltering Operations
 - Logistics and Resource Management
 - Volunteer and Donations Management
 - Mass Casualty
 - Mass Fatality
- Documentation of the process that the region will use to coordinate protective action decisions.
- Development of a process for the coordination of prevention and protection activities throughout the region, and how those activities will be linked with response and recovery planning.

Build Regional Planning Process and Planning Communities

Specific deliverables shall include:

- Establishment of a formalized governance process for regional planning and coordination that addresses both the planning process and network.
- Creating an environment, through regular working groups, workshops, etc. that ensure coordination among homeland security planners throughout the region or State.
- Regional / statewide mutual aid compacts.
- Training strategy for developing a planning capability throughout the impacted region.

Link Operational and Capabilities-Based Planning for Resource Allocation.

Specifically, grantees will be expected to conduct an assessment of a select set of current capabilities in the region to determine the shortfalls and provide a specific plan of action to apply resources to address those shortfalls.

APPENDIX A. AUTHORIZED ALLOWABLE Costs

Table 4 – FY 2007 and FY 2008 Allowable Cost Matrix

Allowable Program Activities Current as of FY08 Programs* See the respective program guidance for additional details and/or requirements *As of Publication	DHS	
	RCPGP	
	Supplemental FY 2007	FY 2008
Allowable Planning Costs		
Public education & outreach	Y	Y
Develop and implement homeland security support programs and adopt ongoing DHS National Initiatives, including State Preparedness Reports	Y	Y
Develop and enhance plans and protocols	Y	Y
Develop or conduct assessments	Y	Y
Establish, enhance, or evaluate Citizen Corps related volunteer programs	Y	Y
Hiring of full- or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)	Y	Y
Conferences to facilitate planning activities	Y	Y
Materials required to conduct planning activities	Y	Y
Travel/per diem related to planning activities	Y	Y
Overtime and backfill costs (IAW operational Cost Guidance)	Y	Y
Other project areas with prior approval from FEMA	Y	Y
Allowable Organizational Activities		
Hiring of full- or part-time staff or contractors for emergency management activities	Y	Y

Allowable Program Activities Current as of FY08 Programs* See the respective program guidance for additional details and/or requirements *As of publication	DHS	
	RCPGP	
	Supplemental FY 2007	FY 2008
Allowable Management & Administrative Costs		
Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, compliance with reporting and data collection requirements	Y	Y
Development of operating plans for information collection and processing necessary to respond to FEMA data calls	Y	Y
Overtime and backfill costs	Y	Y
Travel	Y	Y
Meeting related expenses	Y	Y
Authorized office equipment	Y	Y
Recurring expenses such as those associated with cell phones and faxes during the period of performance of the grant program	Y	Y
Leasing or renting of space for newly hired personnel during the period of performance of the grant program	Y	Y

APPENDIX B.

INVESTMENT Justification

A. Investment Justification Overview.

As part of the application process, applicants must develop a formal Investment Justification that addresses RCPGP objectives and expected actions.

In the provided Investment Justification template, applicants must develop projects that will:

- Establish the structure for the involvement of regional partners (including tribal, government, business, critical infrastructure and community preparedness entities, such as Citizen Corps Councils), to include those outside the traditional urban area boundaries and commensurate with addressing the requirements associated with a catastrophic event.
- Identify one or more of the National Planning Scenarios key scenarios sets provided in the NRF or on page 6 of this guidance, prioritized based on a hazard analysis and risk assessment conducted by the region, which will form the basis for determining planning priorities.
- Show how hazard mitigation plans outline the natural, technological, and human-caused events potentially impacting the region, as well as findings from previously conducted threat and/or vulnerability assessments that support the priorities.
- Focus on one or more of the stated priority planning requirements, or nominate other identified priorities.
- Outline how the identified projects correct shortcomings identified in reports on catastrophic planning (e.g., Hurricane Katrina After Action Reporting or the 2006 Nationwide Plan Review, the FY 2007 FEMA-led Gap Analysis, or Congressional requirements).
- Discuss how projects are consistent with available national planning guidance.
- Discuss how projects complement ongoing or previously funded State/Local/HSGP-funded planning projects.
- Discuss how projects leverage ongoing prevention and protection activities to ensure a continuum of preparedness.
- Establish expected deliverables and a schedule of project milestones.

Additionally, each Investment Justification will address how the RCPT will allocate the available funding and leverage existing resources/technology to achieve project goals. Written concurrence will be required from all regional governmental partners and the FEMA Regional Administrator prior to the submittal.

B. Investment Justification Questions and Scoring Criteria.

RCPGP applicants must provide information in each of the following sections.

C. Investment Justification

To apply for the FY 2008 Regional Catastrophic Preparedness Grant Program (RCPGP), eligible Urban Areas must complete this Investment Justification and provide it to their respective State Administrative Agency (SAA) per the SAA's guidelines. For more information on RCPGP requirements, see Part III of this guidance. The Investment Justification is not to exceed 8 pages, and must be double-spaced and completed using 12 point Times New Roman font.

The Investment Justification is a method for the applicant to demonstrate their planned use of funds and describe specific funding and implementation approaches over the 24-month grant period of performance that will help enhance and sustain capabilities and achieve outcomes aligned with the National Preparedness Guidelines, their respective State/Urban Area Homeland Security Strategy, and their State Preparedness Report.

SECTION I. OVERVIEW

In this section, identify the following:

- *State name*
- *Urban Area name*
- *Description of Geographical Area*
- *Brief description of project focus*

SECTION II. BACKGROUND

In this section, describe which regional partners will be included in implementing the projects outlined in this Investment Justification.

Specifically, this section should include the following:

- *Establish the structure for the involvement of regional partners (including tribal, government, business, critical infrastructure and community preparedness entities, such as Citizen Corps Councils), to include those outside the traditional Urban Area boundaries and commensurate with addressing the requirements associated with a catastrophic event.*
- *Overview of current regional planning effort, including major gaps in planning.*

SECTION III.

HAZARD ANALYSIS / RISK IDENTIFICATION

In this section, describe the region's need for improved catastrophic emergency preparedness planning.

Establish context for the overall submission and explain the all hazard analysis that are specific to the region with a focus on potent catastrophic events, as well as how the risks influenced the applicant's priorities and planning, and therefore the Investment Justification submission

Specifically, this section should include the following:

- *Identify one or more scenarios among the National Planning Scenarios, prioritized based on a hazard analysis and risk assessment conducted by the region, which will form the basis for determining planning priorities.*
- *Show how hazard mitigation plans outline the natural, technological, and human-caused events potentially impacting the region, as well as findings from previously conducted threat and/or vulnerability assessments that support the priorities.*
- *Focus on one or more of the stated priority planning requirements, or nominate other identified priorities.*

SECTION IV.

CATASTROPHIC PLANNING PROJECT

In this section, describe at a high level what planning activities will be implemented to improve the regions catastrophic incident preparedness to address all threats and hazards. Discuss the need for the project, including how it will address the risks detailed in the previous section.

Ensure that the project is aligned with the applicant's State Preparedness Report, Homeland Security Strategy goals and objectives, Target Capabilities, and National Priorities.

Specifically, this section should include the following:

- *Outline how the identified projects correct shortcomings identified in reports on catastrophic planning (e.g., Hurricane Katrina After Action Reporting or the 2006 Nationwide Plan Review, the FY 2007 FEMA-led Gap Analysis, or Congressional requirements).*
- *Discuss how projects are consistent with available national planning guidance.*
- *Discuss how projects complement ongoing or previously funded State/local/HSGP-funded planning projects.*

- *Discuss how projects leverage ongoing prevention and protection activities to ensure a continuum of preparedness.*
- *Establish expected deliverables and a schedule of project milestones. (NOTE: Grantees must address the deliverables specifically required in the Priorities / Program Overview if not already addressed in other sections of this justification.)*

SECTION V. PROJECT MANAGEMENT

A. In this section, describe the project management, including:

- *Who will manage the project*
 - *Response describes, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to manage the Investment*
 - *If the management team is the same as in other Investments, the response explains why this is appropriate*
- *Milestones*
 - *Each milestone provides a clear description of the milestone activities as well as start and end dates*
 - *Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance*
- *Describe any challenges to the effective implementation of this project*
 - *Investment challenge(s)*
 - *Mitigation strategy for each challenge listed*
 - *Probability of occurrence*
 - *Level of impact should the challenge occur*
- *Describe how the activities will be coordinated with relevant State and local authorities*

B. In this section, describe how the 25 percent cost share requirement of non-federal funds (cash or “in-kind”) will be met.

APPENDIX C.

AWARD AND REPORTING REQUIREMENTS

Prior to the transition to FEMA, the former Office of Grants and Training preparedness programs followed The Department of Justice's codified regulations, 28 CFR and the OGO Financial Management Guide. The former Office of Grants and Training is now within FEMA and all preparedness programs will follow FEMA's codified regulations, 44 CFR.

A. Grant Award and Obligation of Funds.

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the “award date.”

Obligations are a legal liability to pay, under a grant, subgrant, or contract, determinable sums for services or goods incurred during the grant period. This includes, but is not limited to, amounts of orders placed, contracts and subgrants awarded, goods and services received, and similar transactions during a given period that will require payment by the grantee during the same or a future period.

Awards made to SAAs under this program carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the States to make funds available to units of local governments, combinations of local units, or other specific groups or organizations. The State’s pass-through period must be met within 45 days of the award date for the RCPGP⁹. Four requirements must be met to pass-through grant funds:

- There must be some action to establish a firm commitment on the part of the awarding entity.
- The action must be unconditional (i.e., no contingencies for availability of SAA funds) on the part of the awarding entity.
- There must be documentary evidence of the commitment.
- The award terms must be communicated to the official grantee.

The period of performance is 24 months. Any unobligated funds will be deobligated at the end of this period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

⁹ For purposes of the RCPGP, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down have been removed).

B. Post Award Instructions.

The following is provided as a guide for the administration of an award. Additional details and requirements may be provided to the grantee in conjunction with finalizing an award.

1. Review award and special conditions document. Notification of award approval is made by e-mail through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official. Follow the directions in the notification e-mail and log into GMS to access the award documents. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification e-mail, please contact your Preparedness Officer for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option 3 to obtain the username and password associated with the new award.

If you agree with the terms and conditions, the authorized grantee official should sign and date both the original and the copy of the award document page in Block 19 and initial the special conditions page(s). Retain a copy and fax the documents to (202) 786-9905 Attention: Control Desk or send the original signed documents to:

**U.S. Department of Homeland Security/FEMA
Grant Programs Directorate/Control Desk 4th Floor, TechWorld
500 C St SW
Washington, DC 20472**

If you do not agree with the terms and conditions, contact the Preparedness Officer named in the award package.

2. Complete and return form SF1199A . The SF1199A Direct Deposit Sign-up Form is used to set up direct deposit for grant payments. The SF1199A form can be found at: <http://www.fema.gov/government/grant/administration.shtm>.

NOTE: Please include your vendor number in Box C of the SF1199A form.

3 Access to payment systems. Grantees under this solicitation will use FEMA's online Payment and Reporting System (PARS) to request funds. The website to access PARS is https://isource.fema.gov/sf269/execute/Login?sawContentMessage=true_. Questions regarding payments or how to access PARS should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to ask-OGO@dhs.gov.

4. Reporting requirements. Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements. Please note that PARS

contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

5. Questions about your award? A reference sheet is provided containing frequently asked financial questions and answers. Financial management questions regarding your award should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to ask-OGO@dhs.gov.

Note: If you have any questions about GMS, need to establish a GMS account, or require technical assistance with accessing your award, please contact the GMS Help Desk at (888) 549-9901.

C. Drawdown and Expenditure of Funds.

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can drawdown and expend grant funds through PARS.

Grant recipients should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Grantees may elect to draw down funds up to 120 days prior to expenditure/ disbursement. FEMA strongly encourages recipients to draw down funds as close to expenditure as possible to avoid accruing interest.

Funds received by grantees must be placed in an interest-bearing account and are subject to the rules outlined in 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements (Including Sub-awards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations (formerly OMB Circular A-110). These regulations further provide that entities are required to promptly, but at least quarterly, remit interest earned on advances to:

**United States Department of Health and Human Services
Division of Payment Management Services
P.O. Box 6021
Rockville, MD 20852**

The grantee may keep interest earned, up to \$100 per fiscal year for administrative expenses. This maximum limit is not per award; it is inclusive of all interest earned on all Federal grant program funds received.

Although advance drawdown requests are permissible, State grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its

implementing regulations at 31 CFR Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds for program purposes.

D. Reporting Requirements.

1. Financial Status Report (FSR) -- required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FSR, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, FSR is due no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FSR is due 90 days after the end date of the performance period.

FSRs **must be filed online** through the PARS.

Required submission: Financial Status Report (FSR) SF-269a (due quarterly).

2. Biannual Strategy Implementation Reports (BSIR) and Categorical Assistance Progress Report (CAPR). Following an award, the grantee will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the CAPR/BSIR reports. The BSIR submission will satisfy the narrative requirement of the CAPR. SAAs are still required to submit a CAPR with a statement in the narrative field that states: "See BSIR."

The BSIR and the CAPR are due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund drawdowns may be withheld if these reports are delinquent.

CAPRs must be filed online through the internet at <http://grants.ojp.usdoj.gov>. Guidance and instructions for completing the CAPR can be found at <https://grants.ojp.usdoj.gov/gmsHelp/index.html>.

Required submission: BSIR and CAPR (due semi-annually).

3. Exercise Evaluation and Improvement. Exercises implemented with grant funds should be threat- and performance- based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at

<http://www.fema.gov/government/grant/index.shtm>. Grant recipients must report on scheduled exercises and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with FEMA support (grant funds or direct support) and submitted to FEMA within 60 days following completion of the exercise.

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The IP outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally the IP, with at least initial action steps, should be included in the final AAR. FEMA is establishing a national database to facilitate the scheduling of exercises, the submission of the AAR/IPs and the tracking of IP implementation. Guidance on the development of AARs and IPs is provided in Volume II of the HSEEP manuals.

Required submissions: AARs and IPs (as applicable).

4. Financial and Compliance Audit Report. Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office, *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of RCPGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

The State shall require that sub-grantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

5. Federal Funding Accountability and Transparency Act. While there are no State and Urban Area requirements in FY 2008, the Federal Funding Accountability and Transparency Act of 2006 may affect State and Urban Area reporting requirements in future years. The Act requires the Federal government to create a publicly searchable online database of Federal grant recipients by January 1, 2008 with an expansion to include sub-grantee information by January 1, 2009.

6. National Preparedness Reporting Compliance. The Government Performance and Results Act (GPRA) requires that the Department collect and report performance

information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement. DHS anticipates using this information to inform future-year grant program funding decisions.

9. State Preparedness Report. Congress requires that States receiving DHS-administered Federal preparedness assistance shall submit a State Preparedness Report to the Department on the State's level of preparedness by March 31, 2008, and annually thereafter. The report shall include: (1) an assessment of State compliance with the national preparedness system, NIMS, the NRP, and other related plans and strategies; (2) an assessment of current capability levels and a description of target capability levels; and (3) an assessment of resource needs to meet the National Preparedness Priorities, including an estimate of the amount of expenditures required to attain the Priorities and the extent to which the use of Federal assistance during the preceding fiscal year achieved the Priorities.

E. Monitoring.

Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based reviews and on-site monitoring visits. Monitoring will involve the 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 recipient is responsible for monitoring award activities, to include sub-awards, to provide reasonable assurance that the Federal award is administered in compliance with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining of adequate financial records, and refunding expenditures disallowed by audits.

F. Grant Close-Out Process.

Within 90 days after the end of the award period, SAAs must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, a Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. After the financial information is received and approved by GPD, the grant will be identified as "Closed by the Grant Programs Directorate."

Required submissions: (1) final SF-269a, due 90 days from end of grant period; and (2) final CAPR, due 90 days from the end of the grant period.

APPENDIX D.

ADDITIONAL RESOURCES

This Appendix describes several resources that may help applicants in completing an RCPGP application.

1. Centralized Scheduling & Information Desk (CSID) Help Line. The CSID is a non-emergency resource for use by emergency responders across the nation. CSID is a comprehensive coordination, management, information, and scheduling tool developed by DHS through FEMA for homeland security terrorism preparedness activities. The CSID provides general information on all FEMA preparedness grant programs and information on the characteristics of CBRNE, agro-terrorism, defensive equipment, mitigation techniques, and available Federal assets and resources.

The CSID maintains a comprehensive database containing key personnel contact information for homeland security terrorism preparedness programs and events. These contacts include personnel at the Federal, State and local levels. The CSID can be contacted at (800) 368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 am–6:00 pm (EST), Monday-Friday.

2. Grant Programs Directorate (GPD). FEMA GPD will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation.

For financial and administrative guidance, all state and local government grant recipients should refer to 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Institutions of higher education, hospitals, and other non-profit organizations should refer to 2 CFR Part 215 for the applicable uniform administrative requirements.

Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ask-OGO@dhs.gov.

3. GSA's Cooperative Purchasing Program. The U.S. General Services Administration (GSA) offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.

- Cooperative Purchasing Program
Section 211 of the E-Government Act of 2002, authorized GSA sales of Schedule 70 IT products and services to State and Local Governments through the introduction of Cooperative Purchasing. The Cooperative Purchasing program allows State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and

the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing is authorized by Federal law and was enacted when Section 211 of the E-Government Act of 2002 amended the Federal Property and Administrative Services Act.



Under this program, State and local governments have access to over 3,500 GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at <http://www.gsa.gov/cooperativepurchasing>.

- **Disaster Recovery Purchasing Program**

GSA plays a critical role in providing disaster recovery products and services to Federal agencies. Now State and Local Governments can also benefit from the speed and savings of the GSA Federal Supply Schedules. Section 833 of the John Warner National Defense Authorization Act for Fiscal Year 2007(Public Law 109-364) amends 40 U.S.C. 502 to authorize the GSA to provide State and Local governments the use of ALL Federal Supply Schedules of the GSA for purchase of products and services to be used to *facilitate recovery from a major disaster declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act or to facilitate **recovery** from terrorism or nuclear, biological, chemical, or radiological attack.*

In the aftermath of emergency events, State or local governments' systems may be disrupted. Thus, use of Federal Supply schedule contracts prior to these events to acquire products or services to be used to facilitate recovery is authorized. State or local governments will be responsible for ensuring that purchased products or services are to be used to facilitate recovery.

GSA provides additional information on the Disaster Recovery Purchasing Program website at <http://www.gsa.gov/disasterrecovery>.

State and local governments can find a list of eligible contractors on GSA's website, <http://www.gsalibrary.gsa.gov>, denoted with a  or  symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov/csd> to find the point of contact in your area. For assistance at the national level, contact Tricia Reed at patricia.reed@gsa.gov, 571-259-9921. More information is available at <http://www.gsa.gov/cooperativepurchasing> and <http://www.gsa.gov/disasterrecovery>.

4. Exercise Direct Support. DHS has engaged multiple contractors with significant experience in designing, conducting, and evaluating exercises to provide support to States and local jurisdictions in accordance with State Homeland Security Strategies and Homeland Security Exercise and Evaluation Program (HSEEP). Contract support is available to help States conduct an Exercise Plan Workshop, develop a Multi-year

Exercise Plan and build or enhance the capacity of States and local jurisdictions to design, develop, conduct, and evaluate effective exercises.

In FY 2008, States may receive direct support for three exercises: one Training & Exercise Plan Workshop (T&EPW); one discussion-based exercise; and one operations-based exercise. While States are allowed to submit as many direct support applications as they choose, they are strongly encouraged to give careful thought to which exercises will require the additional assistance that will be provided through the direct support program. Exercises involving cross-border or mass-gathering issues will be counted against the number of direct-support exercises being provided to States.

Applications for direct support are available at <http://hseep.dhs.gov> and are reviewed on a monthly basis. The Homeland Security Exercise and Evaluation Program offers several tools and resources to help design, develop, conduct and evaluate exercises.

5. Homeland Security Preparedness Technical Assistance Program. The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides technical assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to respond to CBRNE terrorist incidents. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other technical assistance programs.

More information can be found at <http://www.fema.gov/government/grant/index.shtm>.

6. Lessons Learned Information Sharing (LLIS) System. LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, AARs from exercises and actual incidents, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of responders and homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure e-mail and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system. The LLIS website is <https://www.llis.gov>.

7. Information Sharing Systems. DHS encourages all State, regional, local, and Tribal entities using RCPGP funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at leoprogramoffice@leo.gov or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.