



FEMA

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Regional-National Preparedness
Concept of Operations

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I. Mission, Organizational Framework, and Relationships

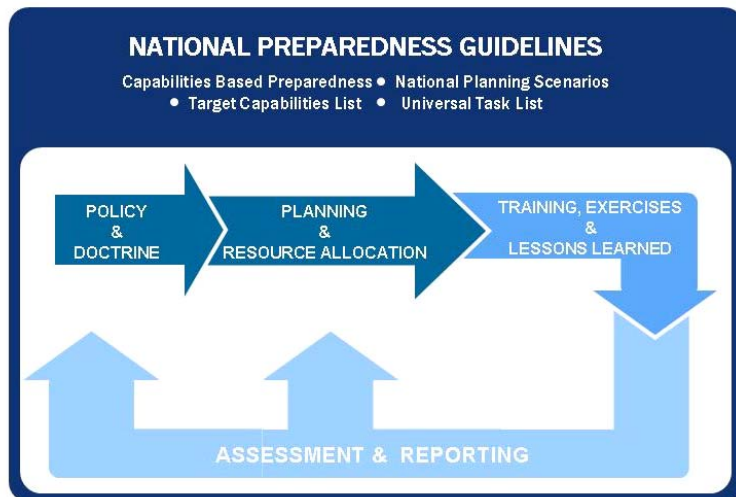
A. Mission and Doctrine

Through the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA), the Federal Emergency Management Agency (FEMA) has been assigned unprecedented responsibilities to develop a National Preparedness System and lead in its implementation. The purpose is to achieve the National Preparedness Goal to strengthen the Nation’s ability to prevent, protect and mitigate against, respond to, and recover from natural disasters, acts of terrorism, and other man-made disasters (See Appendix A “Broadened Preparedness Mission”). The National Preparedness System defines target preparedness levels and priorities, and it includes a cycle of standard-setting, training, exercise, planning, assessment, technical assistance, grant-making, and reporting activities to build capabilities.

The foundation for accomplishing this mission is described in The National Preparedness Guidelines (NPG), approved by the President on September 13, 2007.¹ The NPG provides the doctrine for how to achieve and sustain coordinated capabilities at all levels of government, the private sector, and citizen partners to prevent, protect against, respond to, and recover from all hazards in a way that balances risk with resources and need. The NPG provides, among other things:

- National goals and priorities
- Capability metrics for measuring preparedness
- Capability and risk-based approaches to investment and planning decisions
- Common preparedness framework that transcends levels of government or jurisdictional/bureaucratic boundaries

Figure 1: National Preparedness Guidelines



Implementing the National Preparedness System and attaining the objectives of the NPG is the primary responsibility of FEMA’s National Preparedness Directorate (NPD). The FEMA Deputy Administrator for National Preparedness will lead this national effort, generally by development and provision of policy, doctrine and program administration at the Headquarters level and through collaborative program implementation across federal departments and agencies, state, tribal, and local jurisdictions, non-governmental organizations, the private sector and citizens at the field level acting through the FEMA Regional Administrators (RA) and their Federal Preparedness Coordinators (FPC). The roles and responsibilities of the National Preparedness Directorate and the Deputy Administrator for National Preparedness are described

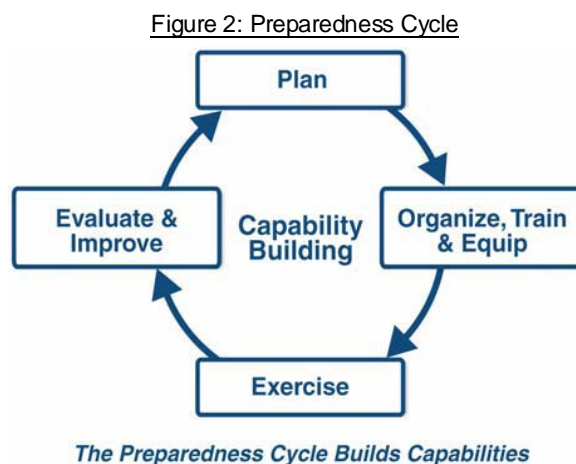
¹ The National Preparedness Guidelines encompass the National Preparedness Goal called for in the Post-Katrina Emergency Management Reform Act and Homeland Security Presidential Directive (HSPD)-8.

in detail in other documents. The purpose of this document is to describe how the System will be implemented, and the objectives of the National Preparedness Guidelines will be achieved through the FEMA Regions, as guided by the leadership of the RA and FPC.

B. Organizational Framework

The FEMA Regions are the vehicles for implementing the National Preparedness System across the federal, state, tribal, and local jurisdictional levels, non-governmental organizations, the private sector, and citizen partners. This effort is led in each Region by the FPC, who have three primary roles, each contributing elements to achieve the objectives of the NPG:

- Meeting Regional and National Needs: Ensure that regional preparedness is attained at a level essential and appropriate to meet the requirements of the all-hazards environment as determined federally by the National Preparedness Guidelines and interagency planning activities, and as determined at the State and local level through their respective strategies, plans, and risk assessments (including the hazard identification and risk assessment (HIRA) process).
- Preparedness Program Management - Building Capabilities: Optimize the building of regional prevention, protection, response and short term recovery capabilities within FEMA and across all federal, state and local jurisdictions, non-governmental organizations, the private sector and citizen partners by guiding conduct of each step of the preparedness cycle.
- Building a Regional Network: Ensure the efficacy of the National Preparedness System within the Region by building and strengthening partnerships vertically within FEMA through the National Preparedness Directorate and other supporting FEMA Directorates, and horizontally across all federal, state and local jurisdictions, as well as with non-government organizations, the private sector, and with citizen partners.



National Response Framework, Figure 2, p. 25 (September 10, 2007 Draft)

FPCs report through the current regional administrative structure consistent with other divisions in the regional office and lead the Regional National Preparedness Division. This Division receives its primary mission direction from the NPD, which maintains alignment between the National Continuity Programs Directorate, Grant Programs Directorate (GPD), and other FEMA components who contribute to the preparedness mission. The FPC directs and coordinates the activities of the National Preparedness Division to assure regional implementation of national preparedness programs, policies, goals and objectives.

The FPC has direct supervisory responsibility for the national preparedness missions and programs currently under the authority of the RA and Deputy RA to include legacy FEMA

preparedness programs as well as those field responsibilities established or transferred to FEMA from the PKEMRA or the Implementing Recommendations of the 9/11 Commission Act of 2007 (e.g., National Preparedness System, National Exercise Program, Radiological Emergency Preparedness Program (REPP), Chemical Stockpile Emergency Preparedness Program (CSEPP), Community Preparedness, Continuity of Operations).

The FPC by nature of his/her assigned responsibilities work constructively with all other FEMA program elements represented in the Region to craft an integrated approach to achieve shared preparedness objectives. The FPC has a unique vantage point to coordinate priorities, areas of emphasis and levels of effort that, when combined, form the Region's strategic approach to preparedness. For example:

- The FPC advises and coordinates closely with grant program management personnel (i.e., Investment Officers² and Assistance to Firefighter Grant program staff) to ensure consistent engagement with State Administrative Agencies and other eligible entities to best influence and integrate grant investments to achieve overall preparedness objectives on a State and regional basis.
- The FPC coordinates with the Disaster Operations Division, applicable Regional response teams (e.g., Incident Management Assistance Teams), the Disaster Assistance Division, and the Mitigation Division to ensure alignment among activities to build protection, response and recovery capabilities along each element of the National Preparedness System (e.g., planning, exercises, training, capability assessments, national priorities, etc.), leverages their subject matter expertise in preparedness initiatives, and mutually supports the conduct of planning and exercises.
- The FPC ensures that Regional Continuity of Operations (COOP) personnel maintain close coordination with the National Continuity Programs Directorate and perform their mission in alignment with National COOP policies and programs.
- The FPC also coordinates the FEMA interface with other Department of Homeland Security and federal department and agency preparedness assistance programs in the field pursuant to HSPD-8 and facilitates coordinated preparedness measures to implement national, domestic homeland security initiatives (e.g., NPG, National Infrastructure Protection Plan, Pandemic Influenza Implementation Plan).

In addition to initiatives to build the role of the Regional National Preparedness Divisions to implement national initiatives, a new Grant Programs Division is to be established within each Region to serve as the central location for grant business management for all grants administered at the Regions, as well as the grants program management for certain national preparedness homeland security grant programs.³ Regional Grant Programs Divisions shall have operational and administrative control over all new and existing Grant Management Specialists at the Regions engaged in the business management of specified functions for all grant programs.

² "Investment Officers" applies to GPD personnel commonly known as "Preparedness Officers" located within the Regions and at Headquarters.

³ The new Grant Programs Divisions may be established on a Region-by-Region basis as sufficient resources are obtained. In the meantime, a new Grant Programs Branch will be established in the Management Division comprised of two teams divided among business and program management responsibilities.

These Divisions will also consist of Regional Investment Officers (RIOs) and Assistance to Firefighters Grant (AFG) Program staff engaged in the program management of certain homeland security grant programs and the Assistance to Firefighters Grant Program. The business and program management of grant programs continue to be closely aligned with the respective programmatic personnel located within the National Preparedness, Mitigation, Disaster Assistance, and Disaster Operations Divisions, as appropriate.

C. FEMA Headquarters – Regional Relationship

The objectives of the National Preparedness System are achieved best by the collaborative and synchronized implementation of preparedness activities by Headquarters elements and Regional Offices as described in Figure 3 and management guidelines set forth in Appendix B.

The Region is the principal conduit for delivery of all preparedness programs and activities to state, tribal, and local partners, non-governmental organizations, the private sector and citizens. Such preparedness activities include, among other things, stakeholder/partner coordination and information sharing, consulting, planning support, capability assessments and reporting, exercise performance and evaluation, internal and external training. Regions are also responsible for assisting the States and Urban Areas⁴ develop and implement preparedness strategies and the programmatic management of certain grant programs to develop intended capabilities and monitor investments, among other things as specified by GPD and NPD based on available resources. Within the Region, these efforts are guided by the FPC, who may seek assistance or guidance from the corresponding Headquarters elements or refer regional stakeholders/partners to Headquarters elements to meet their needs.

Headquarters elements or other Regions may assist a Region to organize, coordinate, or deliver certain programmatic or coordination activities due to an activity's level of national significance, complexity, or Regional Office resource limitations. For example, GPD headquarters and Regional Offices jointly serve as "Centers of Excellence," ensuring strengthened internal controls and standardization of business processes for increased grants management operations performed in the field. While Regional Investment Officers assume increased responsibilities for grant-related consulting, monitoring preparedness investments, assessing improvements in capabilities, and ensuring project compliance with national, State, and local strategies for grant management functions, Headquarters retains responsibility for the management of grant programs that have not yet migrated to the field.⁵


Consistency with the National Agenda: The Regions are expected to adhere to programmatic and administrative guidance provided by FEMA Headquarters' directorates so as to maintain a consistent application of national initiatives. Programmatic guidance may come from Headquarters counterparts in the form of policies, standards, priorities, and administrative direction (see Appendix B: Management Guidelines).

⁴ "Urban Areas" correspond with high-risk, metropolitan areas designated by the FEMA Urban Areas Security Initiative.

⁵ Management responsibilities for the Emergency Management Performance Grant (EMPG), Metropolitan Medical Response System (MMRS), and REAL ID grant programs are among the first to be transitioned to the Regions.

For example, goals of the NPD include: (1) building and maintaining a national preparedness system; (2) providing the foundation for regional preparedness integration; and (3) executing priority national preparedness initiatives with speed and effectiveness. As outlined in the figure below, the FPCs are accountable to assess and enhance regional capabilities in support of the national preparedness system and consistent with this concept of operations (CONOPS). The NPD provides the overarching framework, standards, guidance, and analysis to assist the FPC to ensure that preparedness efforts across the Agency and federal government are integrated and applied in a consistent manner. A similar relationship exists with most other FEMA Headquarters elements, such as with the Office of National Continuity Programs on assistance to improve COOP.

Figure 3: Sample Break-Out of Regional and Headquarters Functions

Functions & Processes	Regional Office	Joint Effort Towards  Shared Goals	Headquarters Elements
	<ul style="list-style-type: none"> Regional Stakeholder Coordination Regional processes Managing Performance Program Execution Regional-level Analysis & Assessments 		<ul style="list-style-type: none"> National Stakeholder Coordination National System and Processes Publications Program Assistance and Guidelines National-level Analysis & Assessments

Accountability and Program Evaluation: The Regional and Headquarters office relationship is managed in compliance with a common set of guidelines to ensure an optimal and mutual application of preparedness resources and maintain a sufficiently high level of service in order to meet the needs of stakeholders and partners (See Appendix B “Management Guidelines”).

In addition, the National Preparedness, Grant Programs, and National Continuity Programs Directorates provide priorities, objectives, and metrics on the Regional management of their respective preparedness programs and corresponding resources. Each Headquarters element provides guidance to the Regions for developing an Annual Program Plan that addresses the priorities, objectives, and metrics for their corresponding programs. Metrics are jointly maintained by the corresponding Headquarters elements and the Regions to guide the evaluation of performance under the authority of the Regional Offices.

Each Headquarters element may conduct formal reviews to monitor Regional office consistency with program requirements and this CONOPS on a semi-annual or annual basis, depending on the needs and resources of the respective programs.

Hiring and Evaluations: The hiring and evaluation of FPCs and preparedness personnel located at the Region is the responsibility of the respective RA or Deputy RA. Selections and hiring are accomplished through a competitive process and performed in close coordination with corresponding Headquarters elements. The active coordination of Headquarters elements assists Headquarters and the Regions maintain alignment, and may come in the form of providing guidance on position descriptions, vacancy announcements, and input on personnel selections.

II. Managing the Program

Managing and coordinating the scope of preparedness activities to meet regional and national preparedness goals and build capabilities to address such goals through regional networks are key operational objectives to successfully regionalize national preparedness consistent with FEMA's broad mission. Together, these activities comprise the process for building capability- and risk-based preparedness and provide the direction for Regions to strengthen the Nation's preparedness efforts to prevent, protect against, mitigate, respond to, and recover from threatened or actual domestic terrorist attacks, major disasters, and other emergencies.

A. Meeting Regional and National Needs

The application of preparedness tools with and among our partners and stakeholders must balance the need to address the nation's many requirements with limited resources. To do so, it is the responsibility of the Regions to provide the field perspective on risks and the status of capabilities across the Region, among its federal, state, regional and local partners, as well as within the Regional Office. It is also vital to set preparedness goals to reflect National policies and to provide an ongoing feedback loop upon which preparedness decisions can be based.

(1) Analyze the risks or hazards specific to the Region.

Both most-likely and worst-case scenario hazards are identified and risk assessments (threat, vulnerability, and consequence data) are evaluated. Much of this information can be ascertained through Department sources, fusion centers, States and Urban Areas, disaster declarations, and third party assessments (e.g., intelligence analysis, infrastructure criticality, hazard probability, academia, media, etc.). It is also necessary to become acquainted with the regional environment, including State risk assessments, critical infrastructure and key resource sector assets, population centers, and law enforcement statistics.

(2) Analyze the Region's current state of preparedness at various levels, including States, Urban Areas, federal departments and agencies (e.g., DOJ, HHS, USDA, EPA regional capabilities), and the FEMA Regional Office.

Capability source materials may include past and current grant awards/investment justifications, Nationwide Plan Review results, Tactical Interoperable Communications Plan results, exercise and real-world after action reports, State and Urban Area strategies, enhancement plans, and results of monitoring visits and audits. Visits and interviews are conducted with stakeholder and partner counterparts to ascertain their capability levels and goals.

Mutual aid agreements, protective actions, and plans are identified and assessed to ascertain their sufficiency to meet performance expectations. Federal, state, and local government equipment caches or storage centers, contracts, voluntary or community organization capabilities, and other logistics needs are also evaluated.

(3) Identify gaps/shortfalls for States, Urban Areas, the FEMA Regional Office, and the Region as a whole based on risks and capability requirements.

Available capabilities are measured against requirements that are based on the risks associated with both most-likely and worst-case hazard scenarios as determined

federally by the National Planning Scenarios and related strategic or operational plans, and as determined at the State and local level through their respective plans and the hazard identification and risk assessment (HIRA) process.

Regions have a lead role in assisting States and Urban Areas assess their individual preparedness capacities, as well as assessing Regional Office and the combined Regional capacities to meet both most-likely and worst-case scenario requirements as outlined in plans and current agreements (i.e. Mutual Aid Agreements, Emergency Management Assistance Compact). The National Preparedness Guidelines and accompanying Target Capabilities List are to be used to gauge levels of preparedness in relation to national priorities and preparedness assessments are performed consistent with NPD guidelines and formats.

B. Preparedness Program Management: Building Capabilities

Preparedness program management is a means to manage risk and meet national/Regional preparedness goals and objectives for prevention, protection, mitigation, response, and recovery missions by making informed choices to enhance capabilities. This is accomplished through operational planning, training, exercises, personnel, equipment, investing grant funding, and other means to best manage and lessen the potential impacts of prioritized risks. This focuses decision making on identifying and prioritizing the risks facing a given area, and then building and maintaining an optimal mix of capabilities that most effectively enable the prevention and protection against these risks and, when events do occur, enable effective response and recovery.

If done appropriately, preparedness program management not only serves to improve and integrate federal, state, and local operational capabilities to effectively manage risks, but it informs efforts to better prioritize and leverage existing, ongoing, and other available investments (such as through mutual aid). Such preparedness program management balances resources across operational planning, equipment purchasing, staffing, training, exercise, and other needs.

Regional Role: The role of the FPC is to serve as the RA's representative to oversee and coordinate regional preparedness program management for the Regional Office as well as FEMA's stakeholders and partners to prevent, protect and mitigate against, respond to, and recover from all hazards events.

Steps for facilitating regional preparedness program management involve multi-disciplinary and cross-governmental collaboration to perform preparedness activities and prioritize ways to build/refine capabilities to close gaps. Consistent with national priorities and planning guidance set forth by NPD, FPCs and other Regional preparedness staff:

(1) Create visibility into federal preparedness assistance activities.

A full understanding of existing preparedness activities (e.g., planning, training, exercises, financial assistance, and technical assistance) in the Region provided by FEMA, other DHS components, and federal partners provides a comprehensive picture of ongoing efforts to counter risks and raise preparedness levels.

This understanding of preparedness activities also lends itself to aid the FPC and staff to facilitate coordination among various sources of assistance to regional stakeholders.

- (2) Develop action plans and recommendations for adjusting preparedness activities and influencing preparedness investments in order to address key gaps/goals.

It is the role of the FPC to inform how the delivery of preparedness activities across the Region are coordinated to ensure consistency with risk- and capability-based preparedness planning, and improve program efficiency and effectiveness. Based upon the assessment of risks and capabilities to meet national and Regional goals (see “Meeting Regional and National Needs” above), choices should be made to shift available resources to areas of greatest need and to collaborate with others to meet capability requirements. Choices may also be made governing how the Regional Office applies its own planning, training, exercise, investment, and technical assistance activities.

States, local governments, the private sector, and other eligible grant applicants have the authority to determine how resources are applied within the bounds of law and program guidance. However, the provision of consulting and assistance to stakeholders is required to influence their individual and collaborative actions to manage preparedness activities to address key gaps/goals. Moreover, Regional assessments should influence the evaluation of State, Urban Area, local government, public safety, private sector, and community plans and submissions for federal preparedness assistance thereby influencing the application of grant programs, exercises, training, planning, assessment, and technical assistance to meet regional and national priorities.

- (3) Perform preparedness activities.

The Region performs or participates in (including the provision of assistance/guidance) planning, training, equipping, exercises, grant making, and other preparedness activities based upon action plans to meet capability- or risk-based needs, and programmatic or policy guidance provided by the respective FEMA Headquarters office.

It is the role of the FPC to coordinate the delivery of preparedness activities performed across the Regional office, or leverage other divisions and branches to ensure consistency with risk- and capability-based preparedness planning, and improve program efficiency and effectiveness.

- (4) Evaluate preparedness program activities to assess their effectiveness, changes in risk or capability, and opportunities for modification or updating.

Regional risk and capability assessments, including assessments performed by States, Urban Areas, and other stakeholders, and the performance of preparedness program activities (including after-action reports, training evaluations, plan reviews, lessons learned, and corrective actions) are evaluated to inform the continuous delivery of preparedness activities. Evaluations are used by the Regions and FEMA Headquarters to aid Regional/national assessment and reporting activities and improve programs and policies.

C. Building a Regional Network

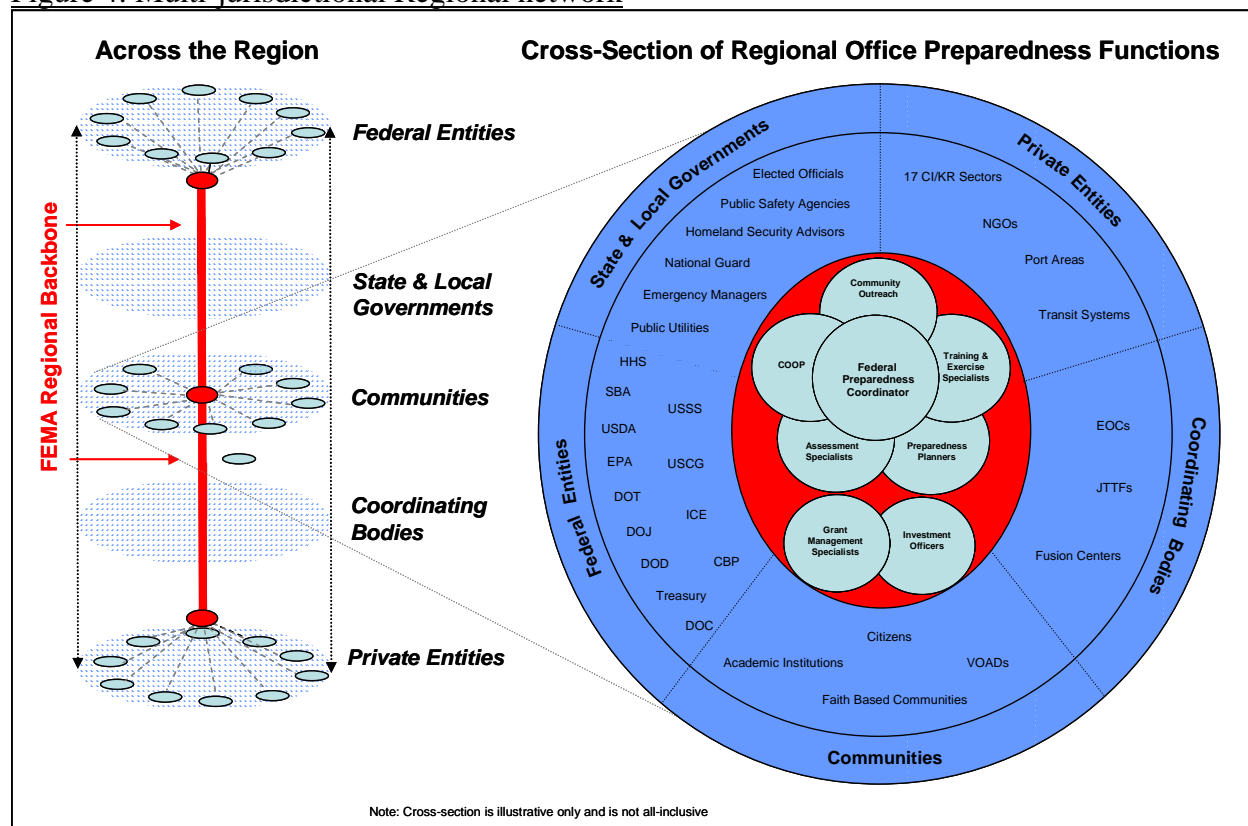
FEMA must be guided by the tenet of “Prepare as you should perform;” whereas, preparedness efforts reflect a level of alignment that is similar to what is necessary for successful operational performance. Integrating preparedness requires that FEMA components act as catalysts in developing a preparedness network inclusive of an array of DHS components, federal, state, local, and tribal governments, critical infrastructure and key resource sectors, public safety disciplines, non-governmental organizations, and citizen group partners, especially State Homeland Security Advisors, State Emergency Managers, and State Administrative Agencies (Regional stakeholders).

The Regional FPCs and their staffs are expected to step into a new role to facilitate and help integrate their regional communities as the nation’s focal points for national preparedness through expanded networks. Expanding the Regional preparedness network should be achieved by proactively engaging stakeholders and acquiring an understanding of all major players and their collective effort to meet requirements to prevent, protect and mitigate against, respond to, and recover from all hazards. Responsibility for building national preparedness does not rest with FEMA alone: hence, the fullest possible level of coordination and support is needed of all other federal preparedness programs and projects among all other federal departments and agencies in the Region.

Such networking may begin by simply bridging plans and capabilities, or facilitating information sharing, but is also expected to include providing advice and counsel on the broad scope of preparedness initiatives. The [*National Capital Region Homeland Security Strategic Plan*](#) is a good model for coordinating across federal, state, and local levels, as well as across jurisdictional and bureaucratic boundaries, the private sector, and citizen partners to define common preparedness goals and objectives for addressing shared risks and challenges. Such a Regional plan may serve as a guide for an effective, coordinated, and interoperable means of investing grant, exercise, training, planning, equipment, and other resources within the Region (see “Preparedness Program Management: Building Capabilities” objective above).

The FPCs and staff engage the Regional Advisory Committee concerning regional preparedness program management, information sharing, and coordination activities as much as practicable. The FPCs should work within the current Federal Regional Interagency Steering Committee (RISC) structure to routinely enhance federal agency participation in regional planning, training, and exercise coordination efforts. The FPCs should also interact with other federal agencies not routinely involved in RISC activities that are currently or potentially active with regional homeland security missions as suggested by Headquarters or necessitated by current preparedness efforts in the Region, particularly other DHS component organizations in the Regions such as Protective Security Advisors and the U.S. Coast Guard. FPCs should also routinely participate with existing interagency and intergovernmental coordination bodies such as Joint Terrorism Task Forces, Anti-terrorism Advisory Councils, State terrorism task forces, Urban Area working groups, Area Maritime Security Committees, Federal Executive Boards, Regional Emergency Communications Coordination Working Groups, appropriate private sector and non-profit security organization partnerships, and other regularly-scheduled forums.

Figure 4: Multi-jurisdictional Regional network



Integration of Preparedness Programs: FEMA is operating in an environment characterized by challenges that require broad and joint solutions. Challenges to improved readiness, and the preparedness community, are of such size and complexity that a coordinated execution of preparedness initiatives is necessary within FEMA and among our regional stakeholders to ensure a consistent application of programs to produce consistent and interoperable products. Further, the use of a uniform approach for how to prioritize and execute preparedness activities promotes an enhancement of capabilities at each level of government and across jurisdictional and bureaucratic boundaries that are mutually reinforcing and driven by shared risks and needs.

The co-location of assets and programs at the Regions is a principal means for integrating preparedness programs among both Headquarters and Regional offices. Through the leadership of the FPC, synergistic preparedness functions should be leveraged among those currently under the authority of the RA, programs currently at the Regions but not previously under the authority of the RA (e.g., REPP, CSEPP, AFG, community preparedness, COOP, RIOs), and new functions transferred to FEMA and the Regions.

Regional preparedness staffs are expected to identify opportunities for integration or alignment among all preparedness activities, including among other things:

- Hazard identification and risk analysis
- Capability assessments and data analysis
- Support for Operational planning systems
- Exercise planning, design, and evaluation
- Internal and external training delivery

- Program management (e.g., general preparedness consultation, reporting, monitoring)
- Grant business management (e.g., financial/administrative consultation, reporting)
- Grant program management (e.g., investment consulting and monitoring)
- Coordination and information sharing with stakeholders/partners
- Regional, interdisciplinary, and multi-year strategic planning and reporting
- Identification of best practices and tracking corrective actions

This CONOPS also facilitates an integration of disparate grant business management functions through a co-location of grant business and program management activities within a Grant Programs Division (or Branch).

III. New Regional Preparedness Positions

A. Federal Preparedness Coordinators

New Regional Office preparedness personnel include ten Federal Preparedness Coordinators (one per region) at the GS-15 grade level to manage, strengthen, and integrate Regional preparedness efforts – across federal, state, and local levels, as well as across jurisdictional and bureaucratic boundaries – to prevent, protect and mitigate against, respond to, and recover from threatened or actual domestic terrorist attacks, major disasters, and other emergencies. The FPC’s role is to facilitate, coordinate, advocate, and support the enhancement of the Region’s capabilities through planning, assessments, analysis, training, exercises, financial, and technical assistance to advance the National Strategy for Homeland Security, the National Strategy for Combating Terrorism, Vision for New FEMA, and Homeland Security Presidential Directives.

The FPCs promote the integration and synchronization of preparedness activities across Regional stakeholders. This responsibility, by necessity, requires extensive information sharing, relationship building, and partnering with existing DHS Headquarters and field component resources and program activities within the FPC’s Region.

Figure 5: FPC / National Preparedness Division Responsibilities

Function	Federal Preparedness Coordinator responsibilities
Integration of Preparedness missions	Coordinate the regional implementation of all FEMA grant and technical assistance, training, exercises, planning, and community preparedness programs.
Planning Systems and Support	Support the maintenance of a national planning system and the planning modernization recommended by after action reports, PKEMRA, Government Accountability Office or Inspector General reports, and the Nationwide Plan Review, among others, to strengthen regional contingency planning.
Preparedness Review and Monitoring	Assess regional risk and the level of preparedness in coordination with the NPD, and regional stakeholders. Monitor National Incident Management System (NIMS) compliance and the implementation of other national preparedness initiatives.
Preparedness Program Management	Develop plans and courses of action based on risk and capability assessments to strengthen preparedness capabilities to achieve measurable readiness priorities and targets that appropriately balance the potential risk of terrorist attacks, major disasters, and other emergencies with the resources required to prevent, protect and mitigate against, respond to, and recover from them. Supervise the performance of preparedness programs within the National Preparedness Division.
Consulting and Advocacy	Serve as the principal advisor to regional stakeholders on national preparedness initiatives and programs, including how to shape preparedness strategies and activities to meet regional and national priorities, goals, or policies.
Exercise Coordination and Review	Assist in the planning, design, execution, and evaluation of federal, state, local, regional, and national-level homeland security exercises and drills.
Training	Maintain an awareness among Region Office personnel, and stakeholders/partners of FEMA training and professional development opportunities. Deliver or facilitate training and other professional development opportunities for Region Office personnel. Facilitate or coordinate FEMA training opportunities for Regional stakeholders.
Information-Sharing	Support the facilitation of the spectrum of homeland security-related information sharing among Regional stakeholders, including working with State and local intelligence fusion centers (SLFCs), Joint Terrorism Task Forces (JTTFs), emergency operation centers (EOCs), and critical infrastructure Sector Coordinating Councils (SCCs).
Strengthen Federal, State, and Local Relationships	Provide liaison and coordination efforts within the regional preparedness community to include, but not limited to: federal department and agency field

	elements; other DHS field elements; State, local and tribal governments, including governors, mayors, homeland security advisors, emergency management agencies, and urban area points of contact; public safety agencies, infrastructure owners and operators; information sharing centers, non-governmental organizations; and community groups.
Situational Awareness	Maintain awareness of available resources and capabilities, current operations, possible threats, vulnerabilities, and potential consequences in their regions.
Prevention and Protection	Support federal interagency prevention and protection initiatives through preparedness programs under the authority of the FPC, including coordination with Protective Security Advisors, the law enforcement and intelligence communities, and critical infrastructure and key resource sectors to implement the National Infrastructure Protection Plan and the War on Terrorism National Implementation Plan.

FPCs are public figures who actively facilitate collaborative events with stakeholders and partners such as educational forums, workshops, training, and exercises. To fulfill their role to integrate and synchronize preparedness activities, FPCs play an integral role in advocating policies and serving as counsel to high-ranking elected, appointed, or senior executive personnel within the Region’s public and private sector entities.

Professional Expertise: FPCs have a broad understanding and experience in the many facets of homeland security, which is necessary for a successful implementation of FEMA’s broadened scope of preparedness missions and services. FPCs require expert knowledge of a wide range of laws, regulations, and policies related to the enhancement of national preparedness, incident management, critical infrastructure protection, and communications and information sharing (e.g., Stafford Act, National Preparedness Guidelines, National Incident Management System, National Response Framework, National Infrastructure Protection Plan, Information Sharing Environment, War on Terrorism National Implementation Plan). This knowledge requires an understanding of the nature of risks posed by all hazards in the region, including acts of terrorism involving weapons of mass destruction that may target a wide range of communities and critical infrastructure/key resource sectors. This knowledge also requires an understanding of the specific needs, capabilities, and authorities of a variety of state and local jurisdictions, critical infrastructure sectors, and public safety and emergency response disciplines, as well as how to allocate, prioritize, and apply resources based on risks and capabilities. In order to manage the array of tasks required under this CONOPS, the FPC requires the ability to effectively manage a staff to maintain a high level of preparedness services despite changing priorities.

B. Preparedness Analysis and Planning Officers

New Regional Office preparedness personnel include ten (10) Preparedness Analysis and Planning Officers (one per region), or Preparedness Analysts for short, at the GS-13/14 grade level to support the FPC fulfill its broad national preparedness responsibilities. They serve as the critical link between the operational planning and administrative activities at the Regional Office with the preparedness initiatives at the National Preparedness Directorate through performance of the following:

- Collect and analyze operational and preparedness capabilities, as well as risk factors specific to the Region;
- Monitor and evaluate regional capabilities and progress of work in relationship to regional and national preparedness policies and goals;

- Identify requirements and perform preparedness program management or maintain awareness alongside other Region, Agency, and Department components, state, local, and tribal governments, public safety agencies, critical infrastructure and key resource sectors, and citizen partners across the region to meet such requirements; and
- Develop annual and multi-year regional preparedness strategies and influence the application of grant and technical assistance, training, exercises, operational planning, and assessment activities to achieve such strategies.

Regions are to leverage federal partners and experts to meet the preparedness needs for all types and categories of disasters, as appropriate.

C. New Positions Transferred to the National Preparedness Division

Existing preparedness resources currently co-located with the National Preparedness Division but under the direct authority of Headquarters elements are now under the authority of RAs, including personnel associated with the REPP, CSEPP, COOP, and Community Preparedness programs. Transferring these positions is the first step towards building the capabilities of the Regions and the National Preparedness Divisions to perform the scope of national preparedness missions and integrate their performance across FEMA.⁶ As new preparedness resources are obtained to help achieve the “Vision for New FEMA”, additional preparedness positions are anticipated to be created under the authority of the RA.⁷

It is the responsibility of the FPC and the RA to ensure such programs are maintained pursuant to program requirements set forth by their corresponding Headquarters elements (see Appendix B: Management Guidelines) and coordinated with other preparedness missions at the Region.

D. Grants Management

An integral component of a robust preparedness structure in the Regions is a mature grant management structure and dedicated grant management personnel with clean lines of coordination with the Headquarters Grant Programs Directorate. The Regions and GPD Headquarters together form “Centers of Excellence” wherein the responsibility to perform specified standardized Regional grants management operations is performed in the field based upon the internal controls established by GPD Headquarters.

Grant Programs Division: A new Grant Programs (GP) Division is to be established within each Region to serve as the central location for grant management to achieve efficiencies and more accurately reflect the Headquarters alignment of programs for coordination with the new Grant Programs Directorate at FEMA Headquarters.⁸ The restructured GP Divisions consist of

⁶ The National Preparedness Division will consist of COOP and Community Preparedness Officers that report directly to the office of the FPC and two branches: Regional Integration and Technological Hazards. As regional COOP and community preparedness resources are increased, each of these program areas may become a single branch within the Division.

⁷ New FEMA positions anticipated to be obtained include 30 Full Time Equivalent positions allocated among the 10 Regional National Preparedness Divisions to perform training, exercise, and other missions.

⁸ The new Grant Programs Divisions may be established on a Region-by-Region basis as sufficient resources are obtained; however, until such time, a new Grant Programs Branch will be established in the Management Division comprised of two teams divided among business and program management responsibilities.

“Business Management” and “Program Management” Branches.⁹ The Business Management Branch includes all current and future Grant Management Specialists (GMSs) who perform business management functions for all FEMA grants administered in the Regions. The business management of grant programs also continues to be closely aligned with the respective programmatic personnel located throughout other Regional Office Divisions. Meanwhile, the Program Management Branch consists of grant program management personnel (e.g., RIOs) for certain national preparedness homeland security grant programs in close alignment with the National Preparedness Divisions.

Grant Business Management: New Regional Office preparedness personnel include twenty (20) new GMSs to accompany existing GMSs. Their objective is to support the business management of federal preparedness assistance program activities in the region by developing, delivering, and maintaining a variety of support activities related to the business administration of grants and cooperative agreements, in accordance with the policies set forth by the GPD. This objective supports the responsibilities of the GPD to provide expert guidance and assistance on all activities related to the business management of FEMA grants to grantees, State Administrative Agencies (SAAs), and all others concerned.

In addition to supporting preparedness grant programs, the new Grants Management Specialists are also responsible for specific financial grants management functions, including:

- Financial monitoring (on-site and desk review) for all grant programs, including legacy FEMA and Preparedness grants.
- Audit resolution activities for all grant programs, including legacy FEMA and Preparedness grants.
- Cash-on-hand analyses for legacy Preparedness grant programs.
- Close-out activities for legacy Preparedness grant programs.

All GMSs are responsible to, among other things:

- Provide technical guidance to a wide variety of grantees in the areas of fiscal integrity, budget, grants administration, grant cycle planning and implementation in order to ensure the financial integrity of award recipients and compliance with federal laws, rules and regulations, as well as agency policies and practices.
- Analyze and resolve complex issues related to the financial and administrative aspects of agency grant programs.
- Coordinate with other division leads to ensure grantee expenditure of funds is in accordance with federal laws and regulations and program policies and practices.
- Monitor business and financial compliance with internal procedures covering statutory and administrative requirements, including adherence to grant special conditions, grant project periods, de-obligations, and release of grant funds.
- Participate as a member of a team in on-site programmatic monitoring visits and conduct in-house financial reviews to validate accountability and evaluate the effectiveness of grantee management and financial management as related to agency grant programs.

⁹ In lieu of a Grant Programs Division, a Grant Programs Branch under the Management Division shall consist of “Business Management” and “Program Management” Teams.

- Through the Division Director/Branch Chief, provide timely information to the GPD and NPD staff, and Regional National Preparedness Division staff on grant status.

Grants Program Management: A critical component of Regional office preparedness efforts is the conversion of RIOs¹⁰ and AFG staff that are currently located at the Regions from the authority of GPD Headquarters to the RAs to fulfill consulting and grant program guidance activities directly with eligible applicants at states, tribal, and local governments, fire departments, non-governmental organizations, the private sector, and citizen groups on investment decisions in compliance with the policies, guidance, and standards set forth by GPD.

RIOs and AFG staff fulfill a substantial role as the primary point of contact for monitoring selected preparedness investments, ensure that projects comply with national policies and initiatives such as the National Preparedness Guidelines, and provide that information to the regional National Preparedness Divisions, NPD and GPD for planning, analysis, and reporting functions. The RIO must have situational awareness of the full portfolio of grant programs and how they align with regional or state strategies. Further, the RIO must work closely with eligible applicants for the programs they administer and in coordination with the FPC in order for investments to appropriately target risks and capability needs for the benefit of the Region's and the nation's overall level of preparedness.

Program management responsibilities for EMPG, MMRS, and REAL ID grant programs are among the first to be transitioned to the Regions. GPD Investment Officers retain responsibility for the management of all other grant programs until additional capabilities are built in the Regions for their performance in the field.

The transfer of RIOs and AFG staff to the Region involves training, mentorship with existing GPD Headquarters staff, and a close partnership with GPD to provide 'reach-back' capabilities as needed. The level and scope of consulting services on preparedness investments and grant program management activities performed by RIOs is dependent upon the hiring of additional RIOs at the Region and transferring grant program management programs/functions from GPD Headquarters to the Regions. Further, many services continue to be provided by, or shared with, GPD until Regional capabilities are built.

Coordination with Headquarters: Similar to the FPC relationship with NPD and the National Continuity Programs Directorate, the Grant Programs Division and its Grant business and program management personnel are subject to a strong coordinating relationship with GPD, as well as the Mitigation, Disaster Assistance, Disaster Operations, and National Preparedness Directorates related to their programmatic responsibilities. GPD provides oversight and guidance to ensure that all regional grants management operations are consistent with applicable laws, homeland security policies, and program guidance.¹¹

¹⁰ Commonly known as Regional Preparedness Officers, they have traditionally served as the manager of only the Emergency Management Performance Grant (EMPG) and the Metropolitan Medical Response System (MMRS) grants in the field.

¹¹ Applicable laws, policies, and guidance may include requirements under the authority and oversight of other FEMA Directorates or other federal agencies that are triggered during the expenditure of grant funds (e.g., Environmental Historic Preservation Act requirements that are traditionally managed by the Mitigation Directorate).

IV. Professional Development

Goal and Scope: It is imperative for Regional Office preparedness staff to have a full understanding of the laws, regulations, policies, program requirements, and communities associated with the broad range of preparedness programs to assure their successful integration and performance. The professional development objectives of the Regions and corresponding Headquarters elements are to:

- Ensure an understanding of the organization and operations of both the Regional Office and Headquarters elements, including those outside National Preparedness Divisions;
- Ensure an understanding of the organization and operations of FEMA and relevant other Department of Homeland Security component missions;
- Prepare FPCs to lead the regional management and delivery of FEMA preparedness programs in coordination with Headquarters counterparts by acquiring a deep understanding of the National Preparedness System, and core Homeland Security priorities, doctrine, systems, management capabilities and policies;
- Prepare regional staff to expand the regional network, build preparedness program management capabilities, and manage the integration of preparedness programs consistent with this CONOPS;
- Develop commitment to and alignment with the mission and goals of Headquarters counterparts; and
- Build an “Esprit de Corps” that promotes collaboration and consistent application of the preparedness mission across the Regions.

Participants may include those at the Regions who are anticipated to play an integral role in the management of preparedness programs, specifically, the FPCs, deputies to the FPCs (National Preparedness Division Director positions), RAs, Deputy RAs, Preparedness Analysis and Planning Officers, and Branch Chiefs, as appropriate.

On-Boarding and Professional Development Activities: Regional Office training, education, and on-boarding procedures and materials are utilized as much as possible. Internal introductions and briefings are employed to orient new personnel on Regional Office procedures, facilities, and personnel. Internal introductions and briefings are also necessary to inform preparedness personnel on the operations and communities involved in existing preparedness programs.

A primary order of business with National Preparedness Division personnel is facilitating their engagement with Regional stakeholders, including State Emergency Management Directors, Homeland Security Advisors, State Administrative Agencies (SAA), other federal agencies, FBI Joint Terrorism Task Forces, law enforcement, the fire services, emergency medical services, public health community, Fusion Centers, Urban Area Working Groups, etc. FPCs and appropriate other Regional preparedness staff are included in all regional meetings with stakeholders.

To facilitate information sharing, coordination, and familiarization with FEMA Headquarters, each FPC is assigned a Headquarters sponsor. It is the responsibility of the sponsor to help answer questions on policy, procedure, and organization structure, as well as to provide guidance to the FPC on the management of preparedness programs.

Upon the initial hiring of the FPCs, an initial visit at Headquarters is organized to facilitate personal introductions, perform training, and present briefing materials on programs and policies. Thereafter, FPCs and other appropriate Regional preparedness personnel participate in quarterly meetings. Quarterly visits may consist of time at the FEMA Headquarters or its components at Washington, DC, the National Emergency Training Center at Emmitsburg, MD, the Center for Domestic Preparedness at Anniston, AL, or FEMA Regional Offices.

GMSs are trained on the myriad of grant management systems, procedures, and reporting tools utilized for each of FEMA's grant programs, specifically those utilized by the State Homeland Security Grant Program, Urban Areas Security Initiative, Law Enforcement Terrorism Prevention Program, EMPG, MMRS, AFG program, Citizen Corps Program, Infrastructure Protection Program, and others.

Preparedness personnel receive training to obtain familiarity with the full scope of all preparedness programming, including the Homeland Security Grant Program portfolio. Specifically, RIOs become familiar with State or Territorial strategy documents; aware of existing grants currently open within the state, programmatic guidelines for all GPD grants; and knowledge of DHS doctrine and publication and training on existing programmatic monitoring protocols, among other things. This training is completed under the sponsorship of GPD's Grant Development and Administration staff. RIOs are also mentored by existing Headquarters Investment Officers on consulting responsibilities until the completion of training.

Professional Development Content: In order to ensure that FPCs and other Regional preparedness staff have a full understanding of the broader environments, communities, background, and programs that they manage, briefing and discussion sessions are held weekly covering several topics. Notional lists of topics to be covered during briefing sessions, in alphabetical order, include:

- Chemical Stockpile Emergency Preparedness Program
- Community Preparedness and Citizen Corps Initiatives
- Executive Order 13407 and the Integrated Public Alert and Warning System
- Homeland security grant program policies, procedures, and guidance
- HSPD 5 and the National Incident Management System / National Response Framework
- HSPD 7, the National Infrastructure Protection Plan, Buffer Zone Protection Program, high-priority critical infrastructure/key resource assessments
- HSPD 8, the National Preparedness Guidelines, and National Preparedness System
- HSPD 10, 14, 18, and CBRNE detection, protection, countermeasures
- HSPD 13, Port Area coordination, and the Port Security Grant Program
- Information Sharing Environment and Fusion Center Initiative
- Integrated Planning System, including catastrophic planning initiatives and Comprehensive Planning Guidance
- National Exercise Program, including Homeland Security Exercise and Evaluation Program, TOPOFF, Corrective Action Program, and National Exercise Schedule
- National Hurricane Program
- National Training Program, including Competitive Training Grant Program, National Domestic Preparedness Consortium, and training partners

- NSPD 51 / HSPD 20 and COOP planning/training/exercises/technical assistance
- Planning reviews and assessments, including NIMS/National Response Framework compliance
- Public safety emergency and interoperable communications
- Radiological Emergency Preparedness Program
- Regional Report covering ongoing actions
- Technical assistance programs and deliveries
- Transit security initiatives, including Transit, Intercity Bus, Intercity Rail, and Ferry Security Grant Programs
- War on Terrorism National Implementation Plan

In addition to scheduled briefings and discussion sessions, preparedness personnel participate in exercises and receive education and training opportunities along with the program performance as a form of “on-the job training”. For example, during grant management cycles, FPCs and other appropriate staff may acquire an understanding of the applicant eligibility, investment allowability, risk formula, application and allocation processes, tracking and monitoring processes, Environmental and Historic Preservation requirements, NPG implementation, etc. during each of the corresponding program stages. Preparedness staff are also encouraged to explore and take full advantage of relevant professional training opportunities, exercises, and other experiences both at Headquarters and throughout the country.

V. Implementation

The full implementation of a broader regional-national preparedness framework pursuant to this CONOPS and PKEMRA requires the hiring and training of new personnel, a realignment of authorities and organizations, changes in program processes, and additional resources.

Accordingly, some initiatives to fully integrate the Regions may take effect immediately, some require a period of transition, and some are contingent upon the receipt of additional personnel or resources.

For example, the level of Regional Office involvement in consulting on preparedness investments is contingent upon the acquisition of additional RIOs. Until such capabilities are built in the Regions and additional programs are migrated to the field, many of the program management, consulting, and coordination functions will continue to be performed by Headquarters Investment Officers in close coordination and cooperation with the RIOs and FPCs.

The following are implementation steps to be executed immediately upon approval:

- Transfer administrative and operational authority over regional REPP, CSEPP, COOP, AFG, community preparedness, and RIO personnel to the RA;
- Define roles and responsibilities and align preparedness function processes at the Regions and at Headquarters;
- Hold monthly preparedness leadership conferences including RAs and NPD/GPD leadership on programs and policies;
- Hiring of FPCs, PAPOs, new GMSs, and other 'New FEMA' positions;
- Begin on-boarding education and training opportunities for Regional preparedness staff;
- Outreach to expanded preparedness network within the Region;
- Inclusion of Regions within priority preparedness missions managed at Headquarters;
- Assess the level of personnel and resources needed at the Regions to adequately fulfill the broader preparedness mission; and
- Identify program guidance, program planning requirements, and metrics that will sustain Regional alignment with national programs and clarify roles and responsibilities.

APPENDIX A: A BROADENED PREPAREDNESS MISSION

New FEMA: In December of 2006, FEMA Administrator David Paulison outlined the “Vision for New FEMA,” which provided a strategic direction, identified core competencies, and established a new ethos. Central to the Vision is our objective of elevating preparedness as a tenet of New FEMA. Elevating preparedness is an imperative of the new National Preparedness Directorate. And, it is accomplished in part, with the establishment of robust Region offices comprising a network of FPCs that help to coordinate the application of preparedness initiatives throughout the country.

Statutory change: The passage of PKEMRA set forth a number of legal requirements imposed on FEMA that are designed to:

- Meet national preparedness priorities and achieve the vision of the National Preparedness Guidelines
- Strengthen the Regional structure
- Implement a comprehensive National Preparedness System to set national goals, track progress, and report on the state of preparedness
- Improve planning and assessment capabilities
- Integrate the preparedness mission at Headquarters and at the regions across prevention, protection, mitigation, response and recovery
- Actively engage the broad spectrum of stakeholders and constituencies

The PKEMRA also transferred several preparedness missions from other components of the Department providing FEMA with an unprecedented opportunity to shape all aspects of the nation’s domestic homeland security posture. For example, the integration of such missions with FEMA’s existing preparedness programs at the Regions makes possible an improved synchronization of preparedness efforts that impact all aspects of incident management. Further, the integration strengthens our ability to deliver the American people a robust and effective means to building homeland security capabilities spanning federal, state, and local communities, and the private sector.

Sample of new and transferred preparedness missions and functions to FEMA under PKEMRA

<p>National Preparedness System</p> <ul style="list-style-type: none"> - National Preparedness Guidelines - Target Capabilities List - National Planning System - Comprehensive Assessment System - Standard development and promulgation - Response capability inventory - Personnel credentialing and resource typing <p>Training and Exercise Activities</p> <ul style="list-style-type: none"> - National Exercise Program - National Training System - National Domestic Preparedness Consortium - Competitive Training Grants - U.S. Fire Administration and National Fire Academy 	<p>Assistance Programs:</p> <ul style="list-style-type: none"> - State Homeland Security Program - Urban Areas Security Initiative - Law Enforcement Terrorism Prevention Program - Infrastructure Protection (e.g., port, mass transit, intercity rail/bus, buffer zone protection grants) - Assistance to Firefighters Grants - Emergency Management Performance Grants - Citizen Corps Grants - Metropolitan Medical Response System - Technical Assistance portfolio - Evacuation planning and exercises - Evacuation Preparedness Technical Assistance <p>Annual Reporting Requirements</p> <ul style="list-style-type: none"> - Federal Preparedness Reports - Catastrophic Resource Reports
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Community Preparedness Programs	- State Preparedness Reports
Center for Faith-Based and Community Initiatives	Technical Hazards including REPP and CSEPP

Further, on July 25, 2007, Congress passed the Implementing Recommendations of the 9/11 Commission Act of 2007 that further amends or adds to the responsibilities of the Agency. Such requirements include, among other things:

- Prescriptive grant making authorities and accountability requirements, including the demonstration of the effectiveness of investments to improve capabilities
- Enhancing public safety communications interoperability and operability
- Strengthening the use of the Incident Command System
- Improving critical infrastructure security

The Region’s Role in Homeland Security Policies: The [National Strategy for Homeland Security](#) and [Homeland Security Presidential Directive -8](#) (HSPD-8), including the [National Preparedness Guidelines](#) describe “preparedness” to include the existence of plans, procedures, policies, training, and equipment necessary at the federal, state and local level to maximize the ability to prevent, protect against, respond to, and recover from major events. Thus, the mission of the Regions in National Preparedness, led by the RA and implemented through the FPC and Regional National Preparedness Divisions, is to lead an integrated preparedness framework that transcends all sectors, including all levels of government, private industry, public safety and emergency management disciplines, and phases of incident management. The Regions also help deliver an appropriate balancing of planning, guidance, technical assistance, training, exercise, and other activities in the field to prepare the nation for all-hazards, regardless of cause.

The responsibility to advance national preparedness programs requires the Regions to play an integral role in the implementation of a broad scope of homeland security policies. For example, FEMA now facilitates, coordinates, or manages several of the prevention, planning, technical assistance, training, and exercise responsibilities required to fulfill objectives outlined in [NSPD-17/HSPD-4 “National Strategy to Combat Weapons of Mass Destruction”](#), [HSPD-7 “Critical Infrastructure Identification, Prioritization, and Protection”](#), [HSPD-10 “Biodefense for the 21st Century”](#), [NSPD-46/HSPD-15 “The War on Terrorism”](#), and [NSPD-51/HSPD-20 “National Continuity Policy”](#), to name a few.

Likewise, FEMA’s preparedness assistance programs (e.g., Homeland Security Grant Program, National Exercise Program, Technical Assistance Program) are utilized by State and local governments, the private sector, and citizens to fund, equip, train, exercise, and support a myriad of federal interagency prevention and protection initiatives, such as the [National Infrastructure Protection Plan](#), [Information Sharing Environment](#), [National Strategy for Pandemic Influenza](#), [National Strategy for Maritime Security](#), and the [National Strategy for Combating Terrorism](#) National Implementation Plan. This requires close coordination with law enforcement, intelligence, and the 17 critical infrastructure and key resource sector communities, as well as close coordination with other federal agencies and offices that have a lead or support role in these initiatives.

APPENDIX B: MANAGEMENT GUIDELINES

The RA and the respective National Preparedness and Management Divisions must have a strong coordinating relationship with the National Preparedness Directorate (NPD), Grant Programs Directorate (GPD), National Continuity Programs Directorate, and other FEMA components with lead roles in preparedness missions to maintain a consistent application of national initiatives. Integral to that coordinating relationship are an agreed-upon set of management guidelines that reflect the manner in which program personnel and assets should be utilized on behalf of each organization while maintaining a consistent and robust application of their core mission objectives.

This FEMA policy is applicable to the following programs and personnel and the corresponding Headquarters counterparts.¹²

Regional Preparedness Personnel	Headquarters Counterpart
Assistance to Firefighters Grant (AFG) personnel	GPD Grant Development and Administration Division
Chemical Stockpile Emergency Preparedness Program (CSEPP) personnel	NPD Technological Hazards Division
Community preparedness personnel	NPD Community Preparedness Division
Continuity Programs personnel	National Continuity Programs (NCP) Directorate
Federal Preparedness Coordinators	NPD Coordination Division
Grants Management Specialists	GPD Business Support and Data Analysis Division
Preparedness Analysis and Planning Officers	NPD Preparedness Policy and Program Analysis Division
Radiological Emergency Preparedness Program (REPP) personnel	NPD Technological Hazards Division
Regional Investment Officers	GPD Grant Development and Administration Division
Training, Exercise, and NIMS personnel	NPD National Integration Center

RAs and Deputy RAs are responsible for the day-to-day management and administration of Regional activities and staff. As such, they are accountable for staff time spent and for assuring that program funds, personnel, and equipment are effectively and appropriately applied to implement preparedness program objectives. They are also accountable to ensure that the services associated with preparedness programs continue to meet the requirements of law and homeland security policy, as well as the needs and expectations of FEMA's stakeholders and partners. Similarly, until additional capabilities are built in the Region to perform their broader preparedness mission, GPD, NPD, and NCP are accountable to ensure that Headquarters assets work in close coordination with the Regions to help implement preparedness initiatives at the Regions.

¹² The identified national preparedness personnel work in partnership with mitigation, disaster operations, logistics management, disaster assistance, and other regional personnel who also engage in preparedness activities in coordination with their respective Headquarters elements.

The following policies apply to preparedness programs and may be modified through a revision to this document or superseded by subsequent FEMA policies.

A. Annual Program Plan

Each Region submits for Headquarters' concurrence a combined Annual Program Plan that addresses the guidance, priorities, objectives, and metrics for specific preparedness programs as set forth by NPD, GPD, and NCP. The annual program plan serves to outline the Region's intended use of personnel and funding that correspond with each national preparedness program and reduce the need for frequent requests and approvals between the Regions and Headquarters elements on the use of resources. The annual program plan also serves to outline Regional resource requirements to inform the annual budget process. The contents of the annual program plan conform to metrics that are jointly maintained by the corresponding Headquarters elements and the Regions to guide the evaluation of the Regional office program performance.

Each Headquarters element may conduct formal program reviews to monitor Regional office compliance with requirements and guidelines. Such reviews may be performed on a semi-annual or annual basis, depending on the needs and resources of the respective program.

B. Personnel

The success of the combined FEMA preparedness and operational mission depends upon the abilities of its personnel to work in an integrated fashion. To improve FEMA's effectiveness, preparedness staff and their Regional Office partners should interface with each other's programs and activities in order to maximize their level of familiarity with each other's programs, authorities, priorities, and procedures.

RAs and Deputy RAs should ensure that preparedness programs receive a collective amount of resources that is no less than the amount budgeted and attributed to each full-time, temporary, or detail position associated with the respective preparedness staff. Therefore, preparedness staff who engage in other Regional Office preparedness and operational activities, and other Regional Office personnel who engage in preparedness program activities do so consistent with the following guidelines:

- **Maintained Level of Service:** Preparedness program priorities and services are maintained pursuant to the respective laws, regulations, policies, and program guidance for each program. Therefore, the performance of time-sensitive, specialized, or core responsibilities take precedence over any other activities and substitutions. Regional Administrators determine the appropriate threshold for authorizing tasks, travel, or other activities affecting preparedness personnel missions in recognition of the attributes and requirements that are unique to specific programmatic staff, administrative and infrastructure support staff, and REPP and CSEPP staff.
- **Program Concurrence:** The respective FPC or GP Division Director, and Headquarters counterpart concur with each instance that preparedness staff are utilized to embark on disasters or detail to other offices or locations to fulfill preparedness program responsibilities. Concurrence must be given to the temporary change in role, the amount

of time and location for the new role, the specific personnel involved, and how such functions may be backfilled by other staff if necessary.

It is the responsibility of each corresponding Headquarters element to make points of contact readily available to the Regions to receive and consider concurrence requests.

- Synergistic Opportunities: The RA or Deputy RA ensures, wherever possible, that any activities performed by staff outside their core responsibilities have a nexus to their core program mission and that their involvement in such activities helps promote an integrated preparedness portfolio.
- Dedication of Resources for REPP and CSEPP: The total amount of time dedicated to REPP and CSEPP program activities each pay period must be equal to the full-time equivalent of time budgeted for these activities. The FPC documents any significant time and activities dedicated by substituted personnel performing REPP and CSEPP missions and reports the results to the National Preparedness Directorate within 30 days after any substitution.

C. Use of Funds

Properly funding disaster duty ensures that funds are available to continue preparedness program activities. In the event that preparedness staff engage in disaster response or recovery efforts, such salary and travel expenses are charged against the applicable disaster's funding code.

Program funds associated with preparedness staff must be used by FEMA staff, at Headquarters and in the Regions, to manage and implement the respective preparedness program as proposed in annual Regional requests for funding allocations and are not to be co-mingled with other funds or used for anything other than purposes associated with the respective preparedness program. In particular, funds may not be used to supplement programs or personnel supported through a different appropriation. However, funds may be used to reimburse programs or personnel supported through a different appropriation for services rendered in furtherance of the objectives that the funding was appropriated.¹³

- Travel: Travel funds associated with preparedness programs are for program-funded personnel travel to accomplish the associated mission, especially supporting planning, exercise, training, or coordination activities. Other staff and managers within the Regional Office and Agency may use preparedness program funds to further the planning, exercise, training, or coordination activities associated with the same preparedness program. Any unspent or remaining travel funds must be routinely returned to the Headquarters counterpart in order to support other related program activities or initiatives.
- Equipment: Equipment associated with preparedness programs must be purchased and utilized in furtherance of the associated preparedness mission and not diverted to extraneous uses.

¹³ For example, the salaries and expenses of the FPC are supported through the FEMA 'Management and Administration' appropriation. However, FPC travel costs associated with the coordination of exercises may be reimbursed with funding obtained through the 'State and Local Programs' appropriation.

- Training: Training associated with preparedness programs must further the program mission and not be used for other training purposes. Regional Administrators or their Deputies have the discretion to determine what training is necessary to further the development and performance capability of preparedness staff (excluding on-boarding training for FPCs, RIOs, and GMSs).
- Employee Awards: Generally, funding that is allocated and entered into the preparedness programs' award accounts is used to provide monetary awards to the associated preparedness staff that are funded within the same appropriation and based on the employee's accomplishments benefiting the particular preparedness program. The process for considering and recommending awards may be consolidated with the process used for other Regional personnel.

FEMA employees other than those within a specific preparedness program may receive an award from such funds only if the following conditions are met:

- Justification for the award clearly indicates that the employee's accomplishments benefited the particular preparedness program; and
- The award document receives the concurrence of the RA or Deputy RA, FPC or GP Division Director, and the respective Headquarters counterpart.

Further, NPD, GPD, and NCP coordinate with Regional offices to ensure that employee awards for program personnel in the Regions are comparable to the award allocations available to other Regional office personnel.

D. Preparedness Roles During Disasters

On a day-to-day basis, preparedness staffs must continuously undertake a range of activities to ensure that their homeland security partners and stakeholders are working via planning, exercises, training, and other means to prevent, protect against, mitigate, respond to, and recover from any incident. In order to maintain the performance of FEMA's broadened mission, during most disasters preparedness staff must continue to work on steady-state preparedness tasks and meet statutory, regulatory, and programmatic requirements, especially exercises, training, planning, grant making, and coordination responsibilities.

However, deployments may aid to educate and familiarize such personnel on operational procedures, requirements, and authorities; to expand or improve regional stakeholder and partner networks; and to integrate Regional Office personnel. While Incident Management Assistance Teams help alleviate the operational responsibilities often performed by non-disaster operations personnel, preparedness staff may help facilitate the implementation of their preparedness activities and lend their relationships, knowledge, and data to aid response and recovery efforts, as required by the RA.

In the event of catastrophic or unusually complex incidents that require extraordinary coordination, or in the case of multiple large-scale incidents, it may be warranted to dedicate preparedness resources for operational purposes. The threshold for emergency requirements to

apply preparedness assets to operational needs for extended periods of time is determined by the FEMA Administrator on a disaster-by-disaster basis upon the request of the RA.

The following guidelines apply during the application of any preparedness resources during disasters:

- The above-mentioned personnel and funding guidelines are followed;
- Preparedness personnel must be qualified to perform the assigned disaster operations or disaster assistance responsibilities, and must be qualified to perform a specific position if assigned to a Joint Field Office;
- During deployments to response and/or recovery operations, all salary and incremental expenses (e.g., overtime, travel, and per diem) for reimbursable REPP and CSEPP employees detailed or deployed to disaster response duties are applied against the corresponding disaster funding code. For all other preparedness program employees, only incremental expenses incurred during the provision of assistance during a disaster are reimbursed;
- Participation in disaster operations or disaster assistance activities are permissible only upon receipt of concurrence from the respective RA or Deputy RA, the FPC or GP Division Director, and Headquarters counterpart; and
- Deployments are logged into the Automated Deployment Database (ADD) to identify the location, activities, and parameters of deployed personnel, as appropriate.

E. Travel for National Program Requirements

It may be warranted for preparedness staff to travel to other Regional Offices or Headquarters in order to meet new or heightened requirements of preparedness programs (e.g., activities related to opening or closing a REPP or CSEPP site, spikes in grant administration requirements, national conferences, exercises); to educate and familiarize such personnel on operational procedures, requirements, and authorities; to expand or improve regional stakeholder and partner networks; or to integrate Regional Office personnel.

Travel to other Regional Offices or Headquarters for program purposes is permissible as long as the above-mentioned personnel and funding guidelines are adhered to, and travel is executed only upon receipt of concurrence from the respective RA or Deputy RA, FPC or GP Division Director, and Headquarters counterpart.

F. Coordination Procedures

The following processes serve to aid Regional and Headquarters coordination on the use of preparedness program resources.

Process Step	Regions	Headquarters Elements
Routine National Programmatic Tasks		
		Day-to-day and other routine program requirements anticipated to be generated at Headquarters (e.g., data calls, FOIA requests, reporting requirements, legislative and external affairs) are identified by the corresponding Headquarters element within program guidance, priorities, or metrics.
As necessary	FPCs or GP Division Directors and appropriate Branch Chiefs balance routine Headquarters program tasks with program operational requirements and available resources.	Routine Headquarters program tasks are conveyed to the corresponding regional preparedness staff and the FPC or GP Division Director.
	Task goals and completion timelines mutually agreed to by Branch Chiefs and the corresponding Headquarters element	
Annual Program Plan		
June 1 st		Each Headquarters element submits annual program guidance, with priorities, objectives, and metrics to the Office of Regional Operations for conveyance to the FPC or GP Division Director.
August 1 st	Annual program plan addressing the Region's implementation of the NPD, GPD, and NCP preparedness programs is submitted to the respective Headquarters elements and Office of Regional Operations	
August through September	Annual program plans are used in conjunction with budget requests and spend plan development to justify resource requirements.	Each Headquarters element is responsible to evaluate the adequacy of each annual program plan to meet their respective program guidance, priorities, objectives, and metrics. Concurrence or required modifications for concurrence submitted to the Regional office and the Office of Regional Operations. Annual Program Plans are utilized to help determine the level of resources required at the Regions to successfully perform their preparedness missions and meet the Agency's goals.
Programmatic Reviews		
Headquarter reviews of preparedness		Headquarters elements perform program reviews in coordination with the Regions. Requests for information will

programs may be conducted on a semi-annual, or annual basis, depending on each program.		be based on Annual Program Reviews or program metrics and provided to the FPC or GP Division Director and corresponding Branch Chief.
Within agreed amount of time	RAs or Deputy RAs and FPCs coordinate responses to information requests.	Program review visits to Regions and/or conference calls are scheduled with Regions in coordination with the Office of Regional Operations.
Disaster Deployments		
As necessary	The RA or Deputy RA submits requests for the deployment or engagement of preparedness staff in non-preparedness program activities to the appropriate Headquarters element and the Office of Regional Operations	Headquarters elements maintain a point of contact available at all times to receive Region requests and to facilitate a response.
Within 1 day of the time of request		The corresponding Headquarters element reviews request and provides concurrence based on program requirements and CONOPS compliance.
	Requests for extended deployments for large-scale incidents are submitted to the Administrator for approval.	
Immediately upon concurrence	Deployments are logged into the ADD system to identify the location, activities, and parameters of personnel use.	
Details for National Program Requirements		
As necessary	FPCs and GP Division Directors maintain a point of contact available at all times to receive Headquarters' requests and to facilitate a response.	Headquarters elements submit requests to detail regional preparedness personnel to help fulfill national programmatic requirements (e.g., exercises, major events, conferences) at other Regions or at Headquarters to the FPC and GP Division Director.
Within 1 day of the time of request	The FPC or GP Division Director, with the corresponding Branch Chief review the request and convey concurrence or non-concurrence to the RA based on program requirements and compliance with this policy.	
	The RA or Deputy RA provides concurrence based on Regional requirements and compliance with this policy.	

Use of Funding		
(See annual program plan procedures)	Regional requests for an appropriate allocation of preparedness program funding are submitted during the budget process. Regional plans for the justification and use of preparedness program funding are included in annual program plans.	Each Headquarters element is responsible to evaluate the adequacy of budget requests and annual program plans to meet their respective program guidance, priorities, and metrics; and incorporate those needs as much as practicable in annual budget submissions.
As necessary	FPCs or GP Division Directors submit requests for concurrence to the corresponding Headquarters element on use of preparedness program funding for unrelated travel and training, or to make awards to employees unaffiliated with the specific preparedness program.	Headquarters elements maintain a point of contact to receive Region requests and to facilitate a response.
Within 5 days of the time of request		Headquarters elements review the request and convey concurrence or non-concurrence to the FPC or GP Division Director based on program requirements, justification of need, and compliance with the annual program plan and this CONOPS.