



Gap Analysis Program Guidance

March 13, 2009



FEMA

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Disclaimer

This document represents the intended mission, goal, and objectives of the Gap Analysis Program in the 2009-2010 cycle of the program. The processes, data requirements, and deliverables included within are all subject to change in future program cycles, as well as in the current cycle as needs arise. Participation in GAP implies no guarantee of assistance from the federal government, nor is any participant state or local jurisdiction held accountable to the information provided.

Cover Photograph

Greensburg, Kansas, April 25, 2008
A FEMA water tanker reflects a temporary housing community.
FEMA photo / John Shea.

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Overview

Purpose of Document

The Gap Analysis Program (GAP) Guidance describes the GAP lifecycle and provides direction for program implementation. Key stakeholders include the FEMA Directorates and regions, the states and territories, the National Guard, local and tribal governments, the private sector, and nongovernmental organizations. This document provides users at all levels with a step-by-step process to manage the program's six phases and drives the overall GAP effort through the use of detailed instruction, process diagrams, and a timeline of deliverables. The centerpiece of this document is the GAP lifecycle, which employs a logical and standardized approach designed to maximize field-level readiness to conduct response and short-term recovery operations.

Mission

The mission of the Gap Analysis Program is to enhance response readiness for the initial 72 hours of a disaster at the federal, state, and local levels.

Goal

The goal of the Gap Analysis Program is to improve operational readiness and reduce disaster impacts by identifying and reducing or eliminating shortfalls that exist between estimated requirements, standards, and performance measures and the actual response and short-term recovery capabilities maintained at all levels of government and with nongovernmental organizations and the private sector.

Objectives

1. Engage state, tribal, and local governments in an on-going process of self-awareness to determine potential disaster requirements and existing capabilities to meet those requirements in pre-defined critical areas during the initial 72 hours of response.
2. Increase pre-disaster awareness of response and short-term recovery gaps in critical areas that are essential and indispensable to response mission success.
3. Provide a deliberative planning tool that facilitates the elimination or reduction of response and short-term recovery gaps in order to improve operational speed and effectiveness.
4. Strengthen state, tribal, and local capabilities, thereby reducing reliance on the federal government for immediate disaster response and short-term recovery needs.

Overview of the GAP Lifecycle

The Gap Analysis Program (GAP) accomplishes its mission, goal, and objectives through the performance of six distinct phases. The GAP Lifecycle is unique in that it begins with the selection of a disaster scenario despite its all-hazards capabilities focus. While states¹ may vary the order or manner in which these phases are performed, the GAP Management Office presents this guidance as a recommended course of action developed collaboratively with input from all ten FEMA regions, associations representing state and local emergency management agencies, and other federal, state, local, and nongovernmental partners.

The six phases included in the GAP Lifecycle are driven by the Capabilities-Based Preparedness Process outlined in the Department of Homeland Security (DHS) National Preparedness Guidelines (NPG), and are designed to provide emergency management agencies at all levels with greater situational awareness of response resources and capabilities. Like the NPG, GAP is an all-hazards, risk-based, and capabilities-driven program. Using the standardized GAP Data Collection and Analysis Tool (DCAT), states are able to collect information that might be required to provide situational awareness *regardless of the hazard against which those capabilities and resources were measured*. The use of a disaster scenario is secondary to this process. Disaster scenarios are used because they provide two benefits to the Gap Analysis Program:

1. They help states to define a sub-state area within which data is collected (in recognition that full-state data collection may not be feasible due to resource or time constraints)
2. They provide one set of risk-based response requirements against which data tracked by the GAP Data Collection and Analysis Tool (DCAT) may be measured.

Once data is collected, users can easily measure any scenario against the GAP data to generate additional response requirements, and can even apply multiple concurrent scenarios or scenarios in succession. It is in this all-hazards functionality that GAP provides its greatest value. States are encouraged to reference their Hazard Mitigation Plan in the development of a disaster scenario, which helps ensure the selected hazard has been prioritized through a process of hazard identification and risk assessment. GAP provides flexibility to states in the scenario development process to ensure the scenario is useful to states' needs while still giving FEMA and other federal partners a better understanding of potential requests from states. This flexibility has the added benefit of allowing better integration of GAP into existing efforts the states and federal government may already have planned or underway.

GAP is a multi-year program. As new scenarios are supported, the area covered by GAP will widen. The information collected through GAP can be applied to any number of scenarios. Once scenarios cover all its jurisdictions, the state can run any number of scenarios against the data, either during planning, before a no-notice event, or immediately after a no-notice event to estimate requirements and identify potential shortfalls.

¹ Throughout the GAP Guidance document, the term “state” and discussion of the roles and responsibilities of states typically also include responsibilities that apply to U.S. territories and possessions and the District of Columbia.

The following is a summary of the six phases of GAP (see Figure 1):

Phase 1: Select Disaster Scenario

A state's resource and capability gaps are measured by comparing immediately-available response resources to estimates of what would be needed in advance of and in response to major disaster events. In Phase 1, states select and describe a hazard reflective of their risk profile and determine an affected geographic area that together define a disaster scenario to be modeled or simulated in Phase 2.

Phase 2: Estimate Response Requirements

Response requirements are a measure of the emergency management resources and capabilities that will be required by the state to fully and independently respond to a disaster. In the absence of actual disaster events, models and/or simulations are used to generate response requirements. In Phase 2, the states (or FEMA Regions) model or simulate the disaster scenario that was selected and developed in Phase 1.

Phase 3: Measure Baseline Preparedness

States measure baseline preparedness by collecting and compiling a data inventory of the emergency management resources and capabilities maintained at the state level, by individual local jurisdictions (county/parish/city), mutual aid partners, the National Guard, nongovernmental (NGO) resources, and private sector partners.

Phase 4: Define the Gaps

Comparing baseline preparedness data generated in Phase 3 to response requirements generated in Phase 2 identifies emergency management resource or capability shortfalls. These identified gaps are then reported to GAP stakeholders in order to enhance operational planning.

Phase 5: Develop and Implement Strategies

GAP stakeholders reduce or eliminate response capability shortfalls, identify alternate resources as necessary, and provide the federal government with the information it needs to plan for providing assistance to the state. States are expected through their own efforts to target priority areas where improvements to resource levels and capabilities are most needed before relying on federal support.

Phase 6: Evaluate and Apply Lessons Learned

In this last phase, areas for program improvement are identified and addressed, and best practices are tracked and institutionalized. GAP taps into the unique experience of each FEMA Region and state in their efforts to collect data, select disaster scenarios, generate response requirements, and identify and address gaps. States and FEMA Regions can greatly assist each other by sharing their valuable lessons learned.

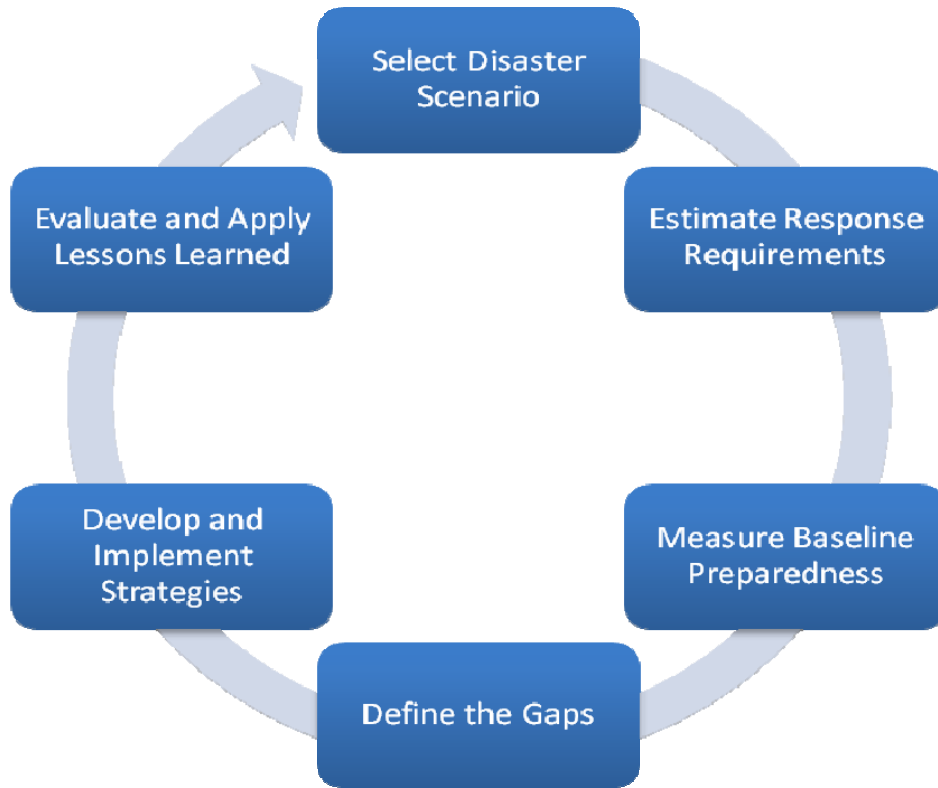


Figure 1: The GAP Lifecycle

Program Scope

GAP focuses on preparations to begin response and specific disaster response capabilities. Response as defined by the National Response Framework (NRF) includes: “[I]mmediate actions to save lives, protect property and the environment, and meet basic human needs. Response also includes the execution of emergency plans and actions to support short-term recovery.”²

To standardize the period of review for all participants, GAP concentrates on the initial 72 hours of response. This period represents the anticipated time required for the full spectrum of federal response resources to arrive in the disaster area. GAP focuses its review on this initial response period in order to identify if a state anticipates a need for federal assistance during the first 72 hours. Because pre-incident disaster declarations stipulate that federal resources may be provided prior to an actual incident, the GAP review should consider both pre-incident and post-incident response needs.

GAP focuses on the initial 72-hours of response, which includes actions to save lives, protect property and the environment, meet basic human needs, and plan and support short-term recovery.

GAP Stakeholders

GAP succeeds through the commitment of multiple and diverse stakeholders, at all levels of government and from the private sector and nongovernmental organizations. At the federal level, DHS/FEMA, the ten FEMA regions, and interagency partners throughout the federal government support GAP. The states, territories, and the District of Columbia play a significant role in the program through their management of scenario development, data collection, and other planning efforts. Local jurisdictions, whose resources and capabilities represent the vast majority of in-state response, are critical to this effort. Tribal governments also have an important role to play in the measurement of resource and capability gaps. While response requirements are influenced by the presence of tribes that exist within disaster-impacted areas, tribal resources contribute to the measurement of a state's capabilities and resources and, likewise, the filling of gaps. FEMA recognizes that the relationships forged between states and tribes are unique. States are encouraged to engage their tribal counterparts in the performance of GAP. Finally, third party stakeholders from the private sector and nongovernmental organizations account for a significant portion of the resources and capabilities relied upon in times of disaster.

Data Security and Accuracy

GAP is a data-driven program, and relies upon states and local jurisdictions to provide detailed data about capabilities and resources to create GAP Reports. Without this data, the measurement of gaps would not be possible. FEMA fully understands the states' concerns about the confidentiality and security of their data, and has taken several precautions to ensure that data is protected. Data collected by GAP is handled with a high degree of sensitivity by all partners involved and through every step of the process. When information is compiled and reported at the federal level, all documents will be marked “SSI – Sensitive Security Information.” When

² Federal Emergency Management Agency. 2008. National Response Framework Overview Document. FEMA. Washington, DC. <http://www.fema.gov/pdf/emergency/nrf/nrf-overview.pdf>.



information is compiled and reported at the state level, all documents will be marked “SBU/FOUO – Sensitive But Unclassified / For Official Use Only.” This information will only be shared with federal/national-level agencies that need to know of and possibly support any potential shortfalls. FEMA regions can help facilitate discussions between states but will not share information with other states without permission from the state owning the data. FEMA regions can facilitate these requests.

GAP relies upon accurate information and open discussion between federal, state, tribal, local, and other partners. Given the complexity of responses and the number of variables, GAP is unable to guarantee the capability of any GAP partner in all possible situations. GAP emphasizes planning and coordination prior to an incident. GAP does not provide real-time data nor constitute a contract between any parties.

Program Comments and Suggestions

GAP is a multi-year program that strives to achieve the goal of understanding and addressing each state’s potential response gaps. This program guidance document will be updated annually as all stakeholders continue to learn from the process. Any comments, questions, or suggestions for program improvement or additional guidance should be sent to: fema-gap@dhs.gov.

Authorities and Program History

Statutory Authority and Doctrine

GAP, with its principles of all-hazards, comprehensive emergency management, is derived from existing statutory authority and established federal doctrine. GAP’s mandate is directly traced to these foundations, which serve to dictate policies and practice. This section briefly describes several of these laws and initiatives.

Homeland Security Presidential Directive–8 (HSPD-8)

HSDP-8, which established the requirement for measuring capabilities, conducting assessments, and ensuring national preparedness through effective and integrated planning, called for the management of preparedness within and across all sectors (federal, state, local, and civilian). HSPD-8 defined preparedness as:

“...the existence of plans, procedures, policies, training, and equipment necessary at the [f]ederal, [s]tate, and local level to maximize the ability to prevent, respond to, and recover from major events....”

Critical to this directive are a quantifiable snapshot of national preparedness and a standardized means of interpreting its status provided through GAP. This directive emphasizes the articulation of capabilities through measurable metrics and performance standards. Finally, HSPD-8 calls for this combination of metrics, standards, and inventory data to provide a status of preparedness that can be assessed against threat-based requirement targets. GAP addresses the response portion of this directive.

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (as amended)

GAP exists, in part, to enhance the delivery of federal assistance to partners at the state and local levels according to the provisions of the Stafford Act. The Stafford Act requires that the FEMA Administrator “accelerate the completion of the inventory of federal response capabilities,” which includes (for each capability):

1. The performance parameters of the capability
2. The timeframe within which the capability can be brought to bear on an incident
3. The readiness of the capability to respond to all hazards

The GAP Report supports this requirement by providing federal agencies with closely-approximated response shortfalls that exist at the state and local levels, so they may better target federal response resources in the aftermath of an actual disaster event.

The Post Katrina Emergency Management Reform Act (PKEMRA)

GAP addresses the PKEMRA requirement that a national comprehensive system to assess emergency management be instituted. PKEMRA states that preparedness is to be expressed in terms of measurable capabilities, and that capabilities are aligned with definable inputs (e.g., people, training, and equipment) and the ability to perform specific tasks. The law emphasizes

the detail and timeliness of preparedness data, and asserts the responsibility of all government levels in collecting this data and generating pertinent information to “establish a comprehensive system to assess, on an ongoing basis, the Nation’s prevention capabilities and overall preparedness, including operational readiness.” The law also dictates the federal and state reporting requirement to include the results of a comprehensive assessment of capabilities and resources at all government levels.

The National Strategy for Homeland Security (2007)

GAP supports the National Strategy by helping the nation meet the following three goals:

- Protect the American people, critical infrastructure, and key resources
- Respond to and recover from incidents that do occur
- Continue to strengthen the foundation [of response] to ensure our long-term success

Integrated Planning System

The Integrated Planning System (IPS), called for in the *National Strategy for Homeland Security 2007*, seeks to achieve the preparedness requirements in HSPD-8 and the National Preparedness Guidelines. GAP supports IPS efforts throughout its lifecycle by providing state and local jurisdictions with the tools and information they need to address their response requirements and planning shortfalls.

Federal planning must be based on the requirements of state, local, and tribal partners so that the federal government can provide the necessary support. The FEMA region plays a critical role in enabling state-to-state cooperation, coordinating disparate capabilities, and serving as the translator between national-level and state planning requirements. FEMA regions determine capability gaps, resource shortfalls, and state expectations for federal assistance through the gap analysis process that best fits the need. FEMA’s Gap Analysis Program (GAP) provides a method for operational planners to validate their planning assumptions and scope the problems to be addressed in the planning processes. Therefore, GAP is an important tool for operational planners. As GAP continues to expand beyond its initial focus on hurricanes, it will expand its role in planning for other hazards.

2008 Annual Planning Guidance: The National Homeland Security Plan

The GAP Mission is aligned with the 2008 Annual Planning Guidance, specifically with the following national planning goals:

- Cleaning up and de-conflicting guidance
- Improving capabilities assessment and creating a system
- Improving risk assessments
- Developing an integrated planning system and improving the state of plans nationwide

National Response Framework (NRF) and National Incident Management System (NIMS)

GAP’s planning and assessment processes are aligned with the tenets of the NRF and NIMS that call for an integrated response to disasters involving any and all functional layers. GAP works to improve the ability of state and local jurisdictions to respond to events, and to enhance the ability

of federal resources to support them in those efforts. GAP is helping to implement a more flexible, scalable response structure. GAP's efforts to enhance the systems by which responders from different jurisdictions and disciplines improve their cooperative assistance in response to disasters and emergencies fully support the missions of both NIMS and the NRF.

Program History and Background

GAP commenced in early 2007 as an effort to better understand the level of federal support states would potentially require in response to a Category 3 hurricane. The 2007 pilot version of the program focused on the Atlantic/Gulf Coast states, the District of Columbia, the United States Virgin Islands, and the Commonwealth of Puerto Rico. GAP assessed seven critical areas including: debris removal, commodity distribution, evacuation, sheltering, interim housing, fuel capacity along evacuation routes, and communications. Medical needs were also assessed with data provided by the Department of Health and Human Services (HHS) in coordination with states and territories. The program provided a common platform for state and local governments and FEMA to estimate resources required for an efficient and effective response. Once vulnerabilities were identified, FEMA Headquarters and regions worked with states to remediate potential shortfalls.

Estimating response requirements and corresponding capabilities for meeting those requirements determined specific gaps. FEMA Headquarters, FEMA regions, New York State Emergency Management Office, and New York City Office of Emergency Management collaboratively developed the initial data collection tools. These tools helped FEMA regions to gather state and local jurisdiction level data and to evaluate capabilities and vulnerabilities.

In 2008, with the collaboration and support of the FEMA regions, subject matter experts, and several states, GAP embarked on a comprehensive revision of the data collection tools. Through this effort, the quality and functionality of the data collection surveys were significantly improved, and now address seven critical areas including: transportation and evacuation; communications; temporary emergency power; mass care and emergency assistance; logistics management and resource support; public health; and search and rescue. The updated GAP Data Collection and Analysis Tool (DCAT) is fully automated, and has been developed with the assurance that each measured variable addresses pertinent state readiness data. This new tool also automates the reporting process.

GAP Critical Areas

1. Transportation and Evacuation
2. Communications
3. Temporary Emergency Power
4. Mass Care and Emergency Assistance
5. Logistics Management and Resource Support
6. Public Health
7. Search and Rescue

GAP is expanding its coverage across all ten FEMA regions in 2009 and applying an all-hazards approach in the states where hurricanes are not the dominant hazard. Using the lessons learned from the pilot regions, the states for which hurricanes are not a dominant hazard can assess capabilities using other scenarios and report capabilities in response to those scenarios. The Atlantic/Gulf Coast states and territories are asked to continue using a hurricane scenario, but the event characteristics and area involved can be modified in order to expand the reach of their assessment. This topic is discussed in detail in the section “Phase 1: Select Disaster Scenario.” Nationwide implementation of the program is expected to begin in March 2009.

Program Support

Program Management

The Operational Integration Branch (OIB) of the Disaster Operations Directorate at FEMA Headquarters manages GAP. OIB provides overall program support and guidance to the FEMA regions and coordinates communication and engagement among the different programs and Directorates within FEMA Headquarters. The GAP Management Office is actively involved in all phases of the lifecycle. It works among the different stakeholders to ensure that the program is fulfilling the mission of identifying shortfalls in state resources and engaging partners at all levels to support affected populations during a disaster.

Communication and Consultation

The success of GAP is heavily dependent upon regular communication and consultation between all partners. Open communication has been ongoing between FEMA Headquarters and the FEMA regions, as well as between the FEMA regions and the states and territories. Program partners have maintained communication through the use of workshops, exercises, meetings, conference calls, and other scheduled and ongoing channels. As states perform GAP, they are encouraged to maintain open communication with their FEMA region, all affiliated state agencies and National Guard planners, as well as the tribal, county/parish, local, NGO, and other third party contacts that are involved in any of the six phases of GAP.

Training

Initially, the GAP Management Office will work directly with the FEMA regions to provide guidance and instruction on GAP and associated tools. FEMA regions are responsible for determining the most efficient and effective way to train states and FEMA Headquarters will support the regions to the extent possible. A series of online training products will assist stakeholders at the regional, state, tribal, and local levels in performing analyses. Updates on the status of these training resources will be provided to stakeholders as they become available.

GAP Toolkit

The GAP Management Office will assist participants in their program implementation efforts through the provision of an online toolkit that includes documents, templates, and other supportive materials.

GAP Toolkit Resources

- Comprehensive GAP Checklist
- GAP PowerPoint Presentation and Brochure
- GAP Data Collection and Analysis Tool (DCAT)
 - Data Collection Surveys
 - Instructions
 - Training Resources
- Disaster Scenario Development Worksheet
- After Action Template
- Answers to Frequently Asked Questions (FAQs)
- GAP Talking Points

GAP Lifecycle

GAP was designed to follow a systematic and cyclical lifecycle that repeats on an annual basis. The GAP lifecycle is composed of six distinct phases through which the program achieves its mission and meets its goal and objectives.



Figure 2: GAP Lifecycle

These six phases, depicted on the diagram above, are:

1. **Select Disaster Scenario** – Selection and development of a disaster scenario through which the state’s response capabilities will be analyzed
2. **Estimate Response Requirements** – Generation of estimated resource and response capability requirements that would be needed in the aftermath of the modeled or simulated disaster
3. **Measure Baseline Preparedness** – Inventory of the emergency management response capabilities and resources available within a state
4. **Define the Gaps** – Measurement of any anticipated response shortfalls made by comparing actual baseline preparedness to estimated response requirements
5. **Develop and Implement Strategies** – Efforts made to address or eliminate potential response shortfalls
6. **Evaluate and Apply Lessons Learned** – Ongoing improvement of GAP through the application of best practices and lessons learned

GAP Lifecycle Timeline

The six program phases described in detail in the next section comprise the GAP lifecycle. Phases may vary in terms of the time required for GAP participants to complete their related tasks due to differences in associated complexity.

States and territories are grouped according to their risk profile, and include:

- The Atlantic/Gulf Coast states and territories
 - AL, CT, DC, DE, FL, GA, LA, MA, MD, ME, MS, NC, NH, NJ, NY, PR, RI, SC, TX, VA, VI
- The all-hazards states and territories
 - AK, AR, AS, AZ, CA, CO, FM, GU, HI, IA, ID, IL, IN, KY, KS, MH, MI, MN, MO, MP, MT, ND, NE, NM, NV, OH, OK, OR, PA, PW, SD, TN, UT, VT, WA, WI, WV, WY

These two groups operate according to two opposing lifecycles (as illustrated in Figure 3 below). Due to the natural timeframe of “hurricane season,” the Atlantic/Gulf Coast states and territories are scheduled to report GAP data in April of each year, prior to the start of hurricane season. For these states and territories, GAP should initiate in March each year and begin to evaluate lessons learned in October.

The all-hazards states and territories experience and plan for a broad range of disasters. Ideally, this group will initiate the program in October, submit data in December and evaluate lessons learned beginning in May. Participation of the all-hazards states and territories in GAP has varied thus far. In 2009, these states and territories will be fully incorporated into the GAP lifecycle. The GAP Management Office recognizes that it may take significant coordination and effort for these states and territories to begin operating on the established twelve-month GAP lifecycle. For this reason, the all-hazards states and territories may operate on a transition schedule in 2009 and early 2010.

The chart on the following page illustrates a recommended transition schedule for 2009 and 2010, by grouping, which the states and territories are encouraged to follow in 2009. States and territories are not bound to this recommendation and may alter the starting and completion times as necessary. However, to ensure the most effective and timely use of collected data, GAP recommends that states strive to meet their work plan schedules and deliverables for each phase.

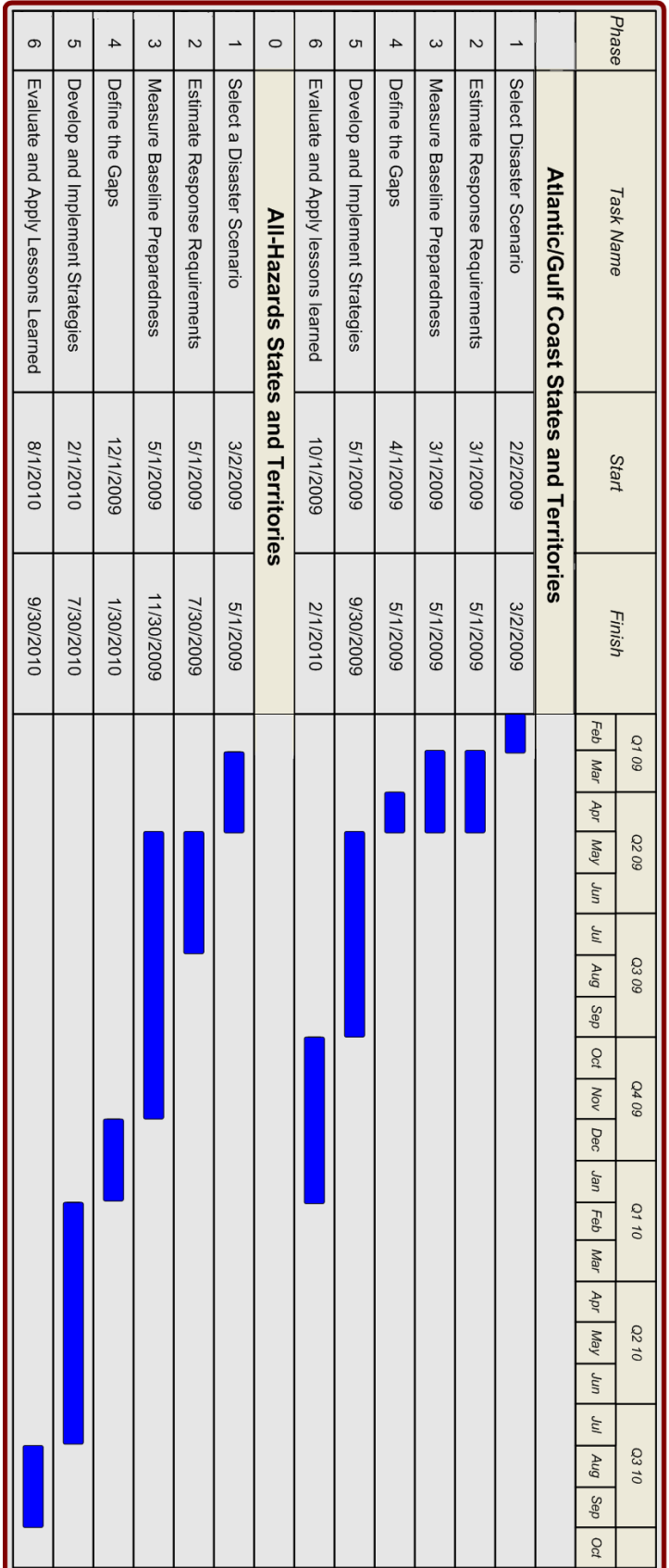


Figure 3: GAP Lifecycle Timeline

Phase 1: Select Disaster Scenario

Phase Objectives

- ★ Review the state hazard mitigation plan and other pertinent risk information to determine the state's most significant (priority) hazards.
- ★ Identify a hazard likely to impact the state with such consequence as to greatly stretch emergency management resources.
- ★ Develop a detailed description of the scenario that will be used to guide disaster modeling or simulation efforts.

Deliverables

Detailed disaster scenario to guide modeling or simulation

Key Stakeholder Roles and Responsibilities

FEMA Headquarters: Provides FEMA regions with scenario selection guidance.

FEMA Regions: Provide states with guidance on scenario selection, support scenario description development, and report selected scenarios to FEMA Headquarters.

States: Initiate the scenario selection process by reviewing their hazard mitigation plan and identifying priority hazard risks. States select and develop a detailed scenario description, and enter relevant data into the GAP Data Collection and Analysis Tool (DCAT) and inform the region of their selected scenario.

Overview

The purpose of this phase is to define the disaster scenario used in GAP. In Phase 2, this scenario will be used to run a model or simulation in order to generate the resource and capability needs upon which GAP will be based. Under GAP 2007, the pilot FEMA regions (which included Regions I-IV and VI) were directed to use a Category 3 hurricane scenario to gauge their resources and capabilities. In 2008, GAP began expansion of the program to all states and measuring preparedness using an all-hazards risk-based approach (thereby allowing the states for which hurricanes do not pose the dominant hazard to select from a wider range of threats when defining a scenario to measure response). The Atlantic/Gulf Coast states and territories are asked to use variations of a hurricane scenario, examples of which might include a different hurricane track, a more powerful storm, or a storm that produces severe flooding rather than extensive wind damage.

Because preparedness modeling for all potential hazard risks might be excessively resource and labor intensive, GAP is designed to measure total response capability through a scenario-centric assessment methodology. As such, GAP encourages states to consider as many existing hazard risks as possible in any given year, but requires only a minimum of one scenario representative of the state's risk portfolio during each GAP lifecycle.

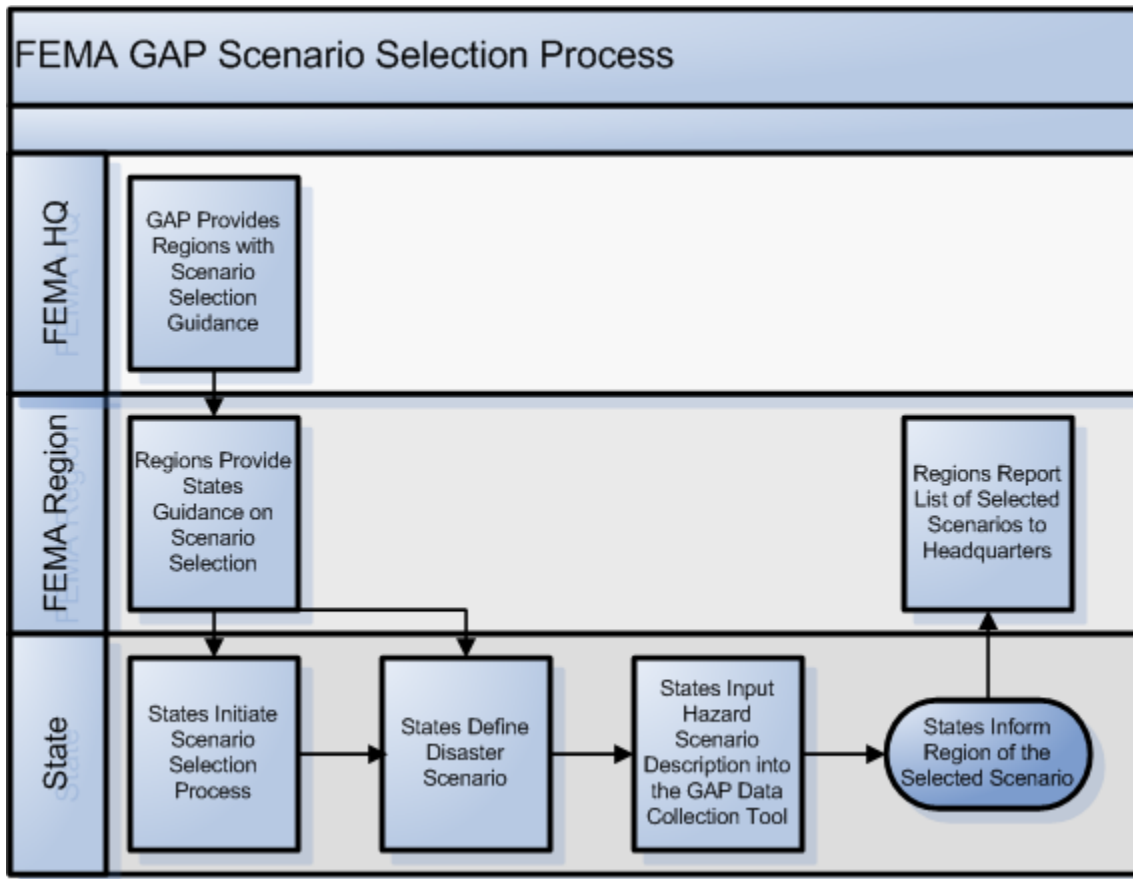


Figure 4: Scenario Selection Process

Scenario Selection

Scenario selection is made by the states in coordination with their FEMA region. Regions are encouraged to include staff from Disaster Operations, Disaster Assistance, National Preparedness, Logistics, and Mitigation so each directorate/division can provide appropriate support. The following guidelines are intended to guide the scenario selection process:

1. States can reference their Hazard Mitigation Plan (HMP), which is a condition of disaster assistance as stipulated by the Disaster Mitigation Act of 2000 (DMA 2000 - <http://www.fema.gov/plan/mitplanning/dma.shtm>). The selected scenario should be one prioritized through the performance of HIRA³ (hazard identification and risk assessment) to ensure that the selection is among the most significant hazards facing the state. This process will increase the relevance and value of data produced by GAP.
2. States are free to select a scenario that includes a technological or intentional hazard (such as one posed by a terrorist attack) if those hazards are not included in the state HMP.

³ FEMA. 2008. National Response Framework. P.74. <http://www.fema.gov/pdf/emergency/nrf/nrf-core.pdf>.

3. The disaster scenario selected should be one that the state considers likely to occur. There are various ways this determination may be made, for example:
 - **Historical Incidence:** The disaster history of the state, as detailed in the state’s Hazard Mitigation Plan or by the FEMA disaster declaration history (http://www.fema.gov/news/disaster_totals_annual.fema), will indicate which hazards are likely to result in declared disasters in the future (simply as a matter of having occurred most often in the past).
 - **Hazard Trends:** Some hazards may not have occurred very often in the past, but are increasing in number; or may have been minor in the past, but are increasing in intensity. Any hazard that the state is likely to deal with more frequently or with greater intensity would be an appropriate selection.
 - **Expert Judgment:** Certain hazards may not have happened very often or at all in the disaster history of the state, but they are still of significant concern because experts have determined that the risk from these hazards is great. Examples of this situation might include a major terrorist attack, pandemic flu, the New Madrid earthquake, or a tsunami.
- Disaster likelihood determined through:**

 - Historical Incidence
 - Hazard Trends
 - Expert Judgment
4. In most instances, the selected event does not have to be catastrophic in nature or a worst-case scenario, but neither should it be an annual or “routine” event. Rather, the magnitude and scope of the selected scenario should be defined to present a range of consequences that stretch or exceed the state’s resources. However, if only a catastrophic incident will sufficiently stretch or exceed state resources for a useful analysis, then such a selection is reasonable.
 5. The selected scenario should have the ability to be modeled or described systematically through the use of computer modeling or accepted disaster simulation methodologies. Examples of modeling resources include:
 - The US Army Corps of Engineers (USACE) hurricane, hydrological, and blast models
 - HAZUS-MH (floods, earthquakes, and hurricane wind)
 - Sea, Lake, and Overland Surge (SLOSH) models
 - Public and private institutions, such as universities
 - National Infrastructure Simulation and Analysis Center (NISAC)
 6. Alternatively, states may elect to utilize scenarios developed by subject matter experts (SMEs), such as those used in statewide tabletop, functional, and full-scale exercises. Finally, they may consider adapting one of the 15 National Planning Scenarios.
 7. Scenarios should address as many of the GAP critical areas as possible, but are not required to address all critical areas or every data element within the selected critical areas.

8. Each year, selected scenarios should address geographical areas of the state that have not been previously assessed through the program (see “A Collective, Multi-Year Approach” below).

States may wish to pool their scenario development efforts with neighboring states that share common hazard risks. In addition to pooling the resources focused on the scenario among both states’ staff, cooperative scenario selection has the added benefit of more accurately addressing the response requirements and available resources presented by multi-state disasters. The GAP Management Office will not share state data between states; however, states are encouraged to share findings with other states to expand situational awareness. FEMA regions can help facilitate this process.

If a concurrent or previous planning initiative (other than GAP) has included a viable disaster scenario, states may also want to consider using that previously-developed scenario. Their prior experience and familiarity will help to more accurately define response requirements and reduce the time and effort associated with the scenario development and modeling processes.

Scenario Feasibility

Disaster scenarios that are selected by states should be based upon hazard events that could feasibly occur in terms of their:

- Magnitude
- Scope
- Consequences

The state Hazard Mitigation Plan may provide the most valuable guidance for this selection process because of the hazard-specific information it contains. Figure 5 is an illustration of a hazard risk prioritization tool that was developed for a state’s Hazard Mitigation Plan. This table illustrates the state’s recorded disaster history by comparing hazards to each other across a range of factors. In this example, the fictitious state would probably benefit by choosing a scenario that included wildfires, floods, or earthquakes based upon its past experience. Keep in mind, however, that a state need not have previously experienced a particular hazard for it to be used as the basis of the gap analysis. There only needs to be a recognized likelihood that the hazard could lead to a disaster in the future (e.g., terrorist attack or major dam failure).

Scenario Development

Key data points must be included in the disaster scenario description to allow modeling or simulation to occur. The data required for each hazard type differ considerably, but include (at a minimum) information about the hazard itself and the geographical area affected by it. The GAP Scenario Development Worksheet was developed to help states in their scenario selection and modeling efforts. This GAP Toolkit item provides detailed information about the scenario selection process and describes several modeling and simulation resources that exist. This worksheet also includes a form that may be used to collect the appropriate information needed to run models or simulations for several different hazards.

Hazard	Emergency Events	Federal Declarations	Deaths	Injuries	State Disaster Costs
Wildfire	98	66	89	1,883	\$908,223,155
Flood	91	34	93	654	\$1,225,634,143
Earthquake	12	6	3	9,321	\$4,212,631,344
Landslide	10	2	42	21	\$12,412,612
Freeze	10	1	1	0	\$561,444,914
Drought	9	0	0	0	\$1,632,277,868
HazMat	7	0	0	0	\$989,401
Windstorm	4	0	0	0	\$745,611
Aviation	2	0	329	0	\$0
Snow	2	0	4	5	\$902,310
Extreme Heat	1	0	43	155	\$0

Figure 5: Risk Prioritization Table, 1965-2008

Oftentimes, modeling and simulation output can be greatly improved through the input of more granular or detailed data, most notably in the following areas:

- Recent population data (number and key demographics), including the use of U.S. Census Bureau data (<http://www.census.gov>)
- Building stock and infrastructure that would be affected
- Social, economic, physical, or environmental vulnerability factors
- Special considerations

States may wish to work with the person or persons conducting the model or simulation to determine what data will be required.

A Collective, Multi-Year, Capabilities-Based Approach

GAP is designed to facilitate a capabilities-based assessment of response readiness, rather than only looking at how the state would respond to individual scenarios. In the initial year of participation in GAP, the area for which data is collected will correspond to those areas addressed by the scenario. However, the data collected using the GAP Data Collection and Analysis Tool (DCAT) addresses the needs of all-hazards, not just the hazard profiled in the selected scenario. Once this data is collected, any scenario may be applied to measure preparedness in those areas.

Each year, the area of data coverage across the state will grow as new scenarios are developed and data is collected from the corresponding local jurisdictions. Eventually, the GAP Data Collection and Analysis Tool (DCAT) will have been used to collect data in every jurisdiction throughout the state. Armed with this complete data picture, the state will be able to test response readiness for any disaster scenario after having only to verify and update information

that may have changed in the intervening months or years in the area included in the new scenario.

To achieve full data coverage across the state, GAP recommends that states select scenarios from one year to the next that include as many new-to-GAP jurisdictions as possible. In doing so, the state will eventually be able to have complete or near-complete data coverage. The local jurisdictions profiled in one scenario might overlap areas that were previously assessed, but states can try to expand as much beyond these previously-addressed areas as possible.

Phase 2: Estimate Response Requirements

Phase Objectives

- ★ Coordinate modeling or simulation efforts
- ★ Run the disaster model or simulation
- ★ Generate response requirements and other disaster scenario output data
- ★ Verify that scenario output data is accurate

Deliverables

Estimates of Response Requirements

Key Stakeholder Roles and Responsibilities

FEMA Headquarters: Facilitate the relationships between the regions and various modeling and simulation technical experts.

USACE and other partners: Work with the FEMA regions to run models that will generate damage assessment data.

FEMA Regions: Coordinate with states to establish requirement needs and communicate with partners to initiate hazard modeling and simulation efforts. Provide states with model output data.

States: Determine disaster modeling or simulation methodology. Perform disaster modeling/simulation and generate scenario output data or coordinate with region to acquire modeling/simulation assistance and scenario output data. Verify response requirements and enter scenario output data into the GAP Data Collection and Analysis Tool (DCAT).

Overview

Disaster response requirements are a measure of the emergency management resources and capabilities that will be required by the state to fully and independently respond to a disaster. In the absence of actual disaster events, disaster models and/or simulations are used to generate response requirements for specific events as defined by a disaster scenario. In this Phase, the states model or simulate the disaster scenario they developed in Phase 1, either by performing this work themselves or by securing the assistance of an outside partner. Alternatively, the states can request that the region conduct the modeling or simulation for them.

Response Requirement Estimation

Disaster modeling or simulation methods determine response requirements across a defined geographic area using specialized formulas and calculations. This geographic area is generally the area that would be directly affected by the consequences of the disaster scenario selected and defined by the state in Phase 1. The affected area of each scenario will be unique with regards to the population, property, infrastructure, utilities, livestock, agriculture, housing stock, environment, and many other factors that may be impacted by the disaster.

By running a model or performing a simulation based on the data provided in Phase I, states or regions will be able to create output reports providing an estimate of damage likely to occur across one or more specific categories. Examples of these categories include the population affected, the amount of debris generated, the number (or percent) and type of structures damaged and destroyed. The emergency response needs (or requirements) are subsequently derived from the data contained in this output report. Comparing such information to the baseline preparedness data collected in Phase 3 allows for the measurement of gaps (where baseline preparedness fails to reach the required response needs).

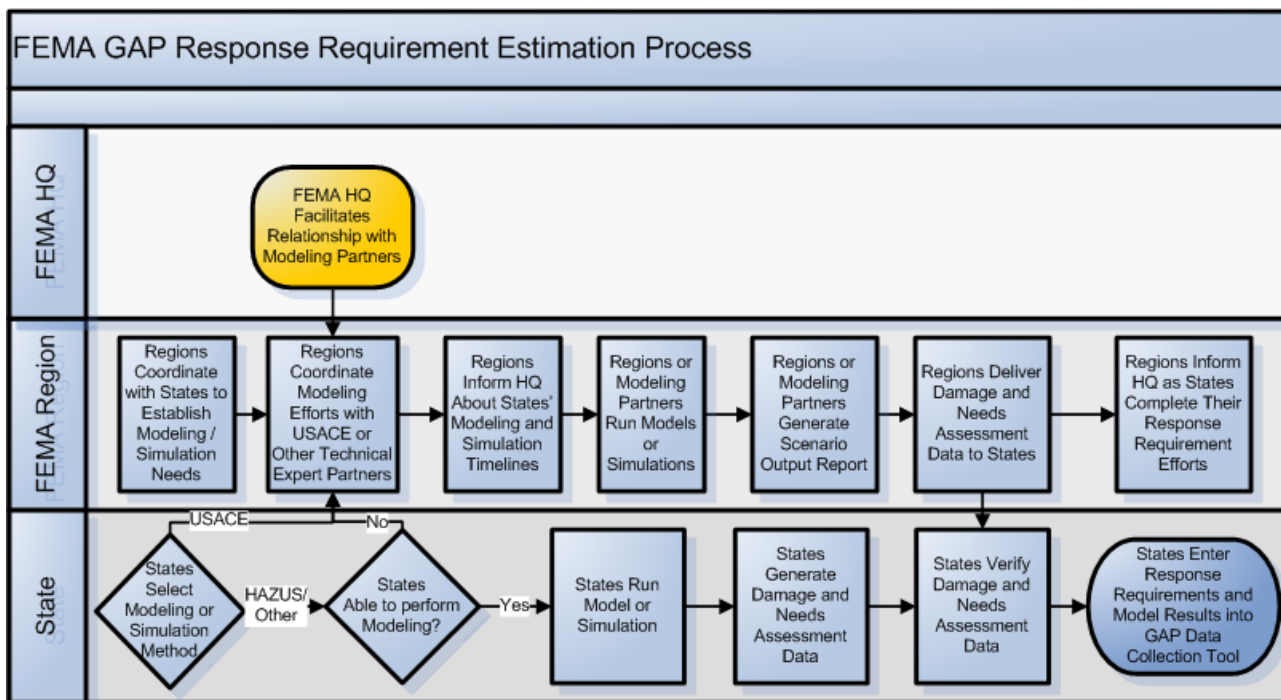


Figure 6: Response Requirement Estimation Process Diagram

Planning Factors

The data outputs that result from models or simulations are rarely sufficient in the formats provided to inform planners about actual or detailed response needs. GAP therefore relies on planning factors to extrapolate the information sought from the limited data points provided by the model or simulation. These data points generally include (among others):

- The number of people affected, injured, and/or killed
- The number of people requiring emergency shelter
- The number and type of structures affected
- The number of miles of roadways damaged or blocked

Standard planning factors are included within the GAP Data Collection and Analysis Tool (DCAT). These planning factors are what dictate the degree to which a state would be required to respond to each specific consequence factor. The GAP Data Collection and Analysis Tool (DCAT) automatically calculates planning factors according to preset formulas. However, states have the ability to modify the values that are derived from these formulas if they feel the outcome is not representative of what would typically be encountered in their state. Consider, for instance, a model that is used to measure the response requirements for an earthquake. One data point provided by the model would be an estimate of the number of people (population) affected by the disaster. Each state may differ in terms of the percentage of that affected population who will seek shelter in mass care facilities. States may therefore adjust the number of people who seek shelter in their scenario if they feel that the derived requirements are not accurate based upon their experience or knowledge.

Requirements appear as categorical needs that relate directly to the baseline preparedness items that will be compiled in Phase 3. For example, a modeled earthquake scenario may indicate that 1,000,000 people would be affected. If the state assumes that 10% of the affected population would seek shelter, then it can be assumed that the state would have to be prepared to provide shelter assistance to approximately 100,000 people if this particular scenario occurred. Examples of other factors planners may encounter include:

- Number of meals provided per person per day
- Percentage or number of structures that would be damaged and destroyed
- Percentage of population with special needs
- Percentage of affected households with pets
- Percentage of population requiring evacuation transportation
- Percentage of population able to self-evacuate

Once all response requirements are established, states will be prepared to compare those requirements with baseline capabilities data developed in Phase 3 and, ultimately, begin defining response gaps as detailed in Phase 4.

Disaster Modeling Assistance

Modeling and simulation efforts may be performed in several ways, including the use of computer-based systems and expert judgment. While many states have the ability to perform this technical task on their own through the use of the HAZUS-MH or other software (see below), modeling support may be available. FEMA regions can assist states with their modeling needs either by facilitating US Army Corp of Engineers (USACE) modeling services or by conducting the modeling themselves. Additionally, states may be able to use outputs from models that have already been performed.

The model or simulation method ultimately selected will most likely be a factor of the hazard type upon which the scenario is based. The Scenario Development Worksheet, provided in the GAP Toolkit, includes additional modeling resources and more detailed information about each.

The following abbreviated list illustrates several of the more commonly-used modeling and simulation options available to states and FEMA regions:

- **U.S. Army Corps of Engineers (USACE) Modeling:** USACE has the ability to estimate response requirements based upon provided scenario descriptions for a range of hazard types including hurricanes, tornadoes, hydrological events, and explosive blasts.
- **HAZUS-MH:** The FEMA modeling software package HAZUS-MH is available and free to the states and FEMA regions. This software runs on the ArcView GIS software platform (which does require the purchase of a software license). HAZUS-MH can be used to model flood, earthquake, and wind (hurricane) risk. FEMA's Emergency Management Institute (EMI) provides training on this application and training is also available on the web. The software can be ordered through the FEMA distribution center. Please see the following website for more information about ordering the software (http://www.fema.gov/plan/prevent/hazus/hz_orderform.shtm).
- **Sea, Lake, and Overland Surges from Hurricanes (SLOSH):** SLOSH modeling, which is run by the National Hurricane Center of the National Oceanographic and Atmospheric Administration (NOAA), can be used to estimate storm surge heights and winds resulting from hurricanes.
- **Research Institutes:** States can seek the assistance of academic (community colleges and undergraduate and graduate programs) emergency management programs for modeling or simulation assistance. See the FEMA Emergency Management Institute (EMI) College List for a list of academic programs and institutes (<http://training.fema.gov/EMIweb/edu/collegelist/>).

Disaster modeling and/or simulation efforts will generally address the initial 72 hours of the disaster scenario developed in Phase 1, beginning once the damaging consequences of the disaster have begun. This time period marks the threshold beyond which full federal support may be anticipated.

Data Output

Upon completing the model or scenario and translating all output data to meet the needs of the response requirements, states enter the pertinent information into the GAP Data Collection and Analysis Tool (DCAT).

Phase 3: Measure Baseline Preparedness

Phase Objectives

- ★ Establish a data collection strategy
- ★ Use the GAP Data Collection and Analysis Tool (DCAT) to collect data in the seven critical areas
- ★ Compile and report data to the FEMA region

Deliverables

Completed GAP Data Collection and Analysis Tool (DCAT) for state emergency management and all local jurisdictions included in the selected disaster scenario

Key Stakeholder Roles and Responsibilities

FEMA Headquarters: Work with FEMA regions to execute regional work plans and provides support with program tools.

FEMA Regions: Work with states to determine data collection process through meetings and regular communication. Regions communicate with the states to assist with data collection and to provide other support as necessary.

States: Establish a data collection work plan and determine data collection responsibility at either the state or local jurisdiction level. States work with data collection partners to collect GAP data relevant to the selected scenario. States compile and verify data, and enter it into the GAP Data Collection and Analysis Tool (DCAT).

Local Jurisdictions: Work with necessary partners and states to compile data, fill out the GAP Data Collection and Analysis Tool (DCAT), and provide data back to the state.

Private and Nongovernmental Organizations (NGOs): Work with state and local jurisdictions to provide data related to potential support available.

Overview

A state's baseline preparedness is defined as the collective measure, or inventory, of the emergency management resources and capabilities maintained by the state government, the National Guard, individual local jurisdictions (county/parish/city), mutual aid partners, and any other NGO or private sector resources the state can call upon in times of emergency in order to meet the needs of that state's population. Baseline preparedness is, in other words, a measure of the degree to which a state is able to respond in an emergency event before it must call upon the federal government for assistance.

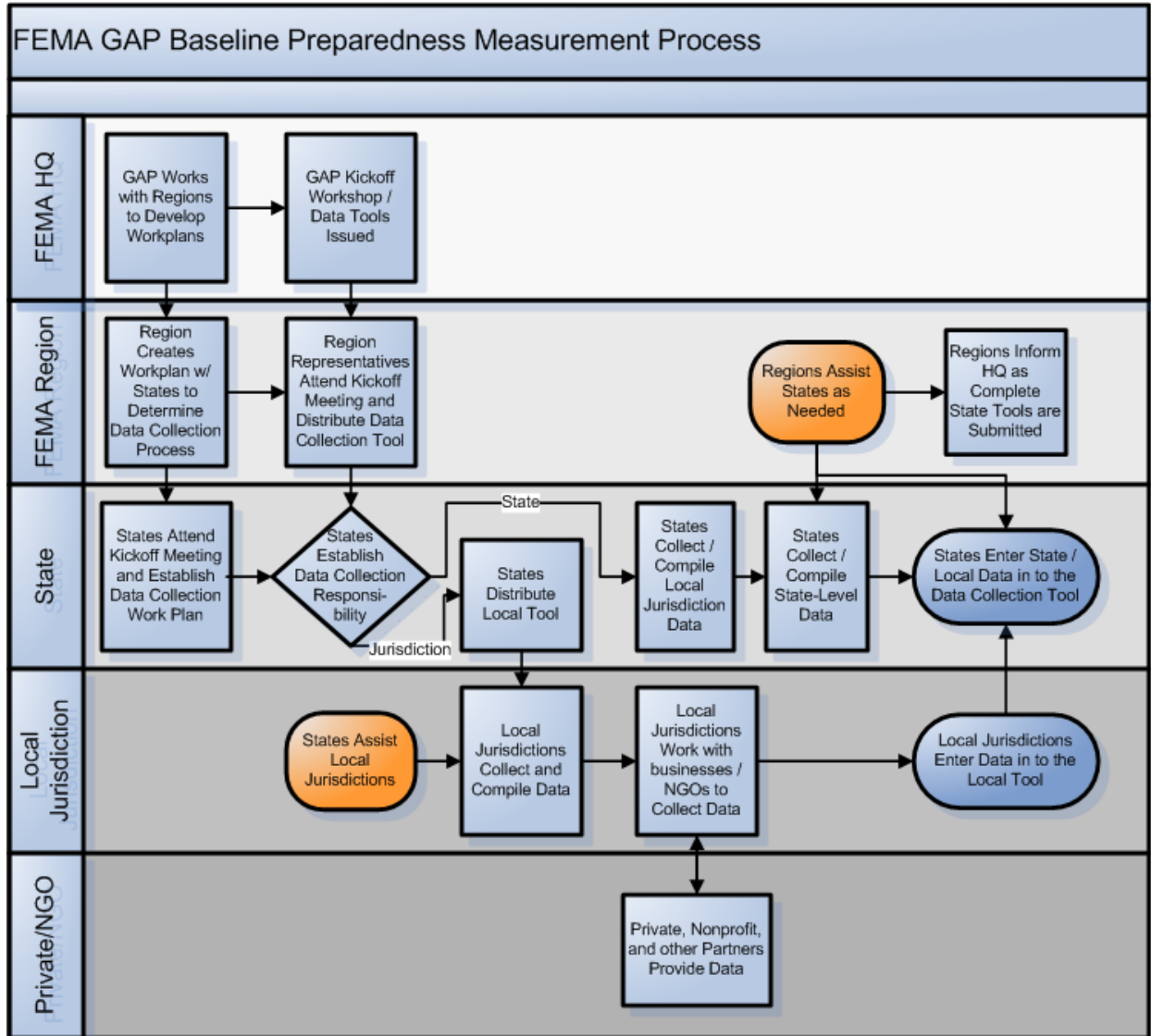


Figure 7: Baseline Preparedness Process

The Critical Areas of Baseline Preparedness

Baseline preparedness is established across seven distinct functional categories, called “critical areas.” The GAP Data Collection and Analysis Tool (DCAT) guides this process. FEMA Headquarters and the ten FEMA regions jointly developed this tool, with input from a wide range of state, local, and other stakeholders. It is used to generate an inventory “snapshot” to measure the anticipated availability of response resources and capabilities that could be called upon in any hazard that threatens a particular state. These seven critical areas include:

- Transportation and Evacuation (ESF 1)
- Communications (ESF 2)
- Temporary Emergency Power (ESF 3)

-
- Mass Care and Emergency Assistance (ESF 6)
 - Logistics Management and Resource Support (ESF 7)
 - Public Health (ESF 8)
 - Search and Rescue (ESF 9)

Data contained in the Public Health critical area is captured and reported by the Department of Health and Human Services (HHS) through a FEMA/HHS Interagency Agreement (IAA). Data in each of the other six critical areas is populated through state and/or local jurisdiction efforts. *Additional critical areas currently under consideration include Law Enforcement, Critical Infrastructure / Key Resources, Debris Clearance, Interim Housing, and Agriculture.*

The Data Collection Effort

The GAP data collection effort extends across multiple levels of government and supporting partners. The GAP Management Office provides overall program management and oversight for GAP partners. The GAP Management Office also maintains and updates the GAP Data Collection and Analysis Tool (DCAT) and provides it to the FEMA regions for distribution to states. FEMA regions coordinate and support the states' data collection, analysis and reporting efforts. States coordinate data collection, analysis, and reporting in partnership with local jurisdictions, the private sector, NGOs, and FEMA regions. Other federal agencies can support this process by working with FEMA regions, and/or FEMA Headquarters.

States compile all of the reported data into the GAP Data Collection and Analysis Tool (DCAT) and forward it to the FEMA region. States may choose to collect and compile the data themselves or request that the individual jurisdictions collect the data at the local level. Suggestions for state data collection processes include:

- Generate all jurisdiction baseline preparedness data at the state level using existing resource and capability inventories and expert judgment, while relying on jurisdictions, the private sector, nongovernmental organizations, and other stakeholders for reference or confirmation purposes only.
- Share the local jurisdiction baseline preparedness data collection effort between state and local jurisdiction officials.
- Guide the local jurisdictions to collect all jurisdiction baseline preparedness information themselves and transfer that information to the state when completed.

Local jurisdictions work with the states by furnishing data pertinent to their response capabilities and resources as requested and in partnership with state governments and FEMA regions. States work with contacts in the private sector and nongovernmental organizations to obtain data on applicable resources from those entities.

Data Collection Needs

To paint a complete picture of their preparedness baseline, states would collect and report preparedness information that detailed all emergency management resources and capabilities of the state government including the National Guard, as well as every local jurisdiction (city/county/parish), and any emergency management partners in the private sector and nongovernmental organizations. While GAP encourages states to strive for this level of coverage, it is recognized that such efforts can be labor and resource intensive. For this reason, GAP is designed such that states are able to build upon their data coverage from year to year. As was presented in Phase 1, each GAP cycle requires data representing only the local jurisdictions included in the area defined by the disaster scenario. This area represents partial-state coverage, which is expanded in each successive year as new scenarios are developed. After several annual GAP lifecycles have passed, states will eventually acquire baseline preparedness data for most (if not all) local jurisdictions, thereby completing the statewide snapshot of their readiness to respond. It must be noted, however, that the accuracy of baseline data collected in previous years is dependent upon an update to capture any changes from what was originally reported.

State-level data, which includes *all* state resources (regardless of the scenario area defined), can be updated during each annual GAP cycle. This allows for accurate tracking of all state-wide emergency management resources and capabilities to include state government-specific resources (from all agencies and departments), National Guard resources available to the Governor, interstate and regional mutual aid agreements, nongovernmental organizations, Voluntary Organizations Active in Disasters (VOADs), the American Red Cross, the Salvation Army, and others. Together these resources provide a realistic estimate of the emergency response-related support the state can provide affected local jurisdictions statewide.

Data Reporting

Once a state has collected all required baseline data across the geographic area included in their disaster scenario, that data is compiled in the GAP Data Collection and Analysis Tool (DCAT) for use in the gap estimation process to be performed in Phase 4.

Phase 4: Define the Gaps

Phase Objectives

- ★ Enter baseline preparedness and response requirements data into the GAP Data Collection and Analysis Tool (DCAT)
- ★ Draft updated GAP Report

Deliverables

Updated GAP Report

Key Stakeholder Roles and Responsibilities

FEMA Headquarters: Update Nationwide GAP Report.

FEMA Regions: Collect information on response gaps from the states, and draft regional Gap Reports.

Overview

The Gap Analysis Program defines potential emergency management resource or capability shortfalls or gaps by comparing baseline preparedness data to disaster scenario (or actual disaster event) response requirements. Gaps only occur when existing capabilities and resources fail to meet needs. The process of identifying gaps helps planners reduce or eliminate response capability shortfalls, identify alternate resources as necessary, and provide the federal government with the information it needs to plan for providing assistance to the state.

GAP data can be measured against any number of scenarios, as the collection process and the type of data collected are not influenced by the scenario selection. To generate gaps, states do need to examine a specific scenario, and the scenario selection process described in Phase 1 helps to ensure that the scenario selected is risk-based and of greatest informational value to the state. It is hoped that GAP will eventually have the capability to measure all-hazards emergency preparedness across all FEMA regions and all states. In the program's initial years, states are requested to report on how their preparedness baseline compares to a single disaster scenario as developed in Phases 1 through 3. Gaps will likely differ from one scenario to the next even within the same state, but the risk-based approach applied to scenario selection helps to ensure that the response requirements represent the most likely encountered.

If a state wishes to measure their gaps against additional hazards, or even all of their hazards, the GAP Data Collection and Analysis Tool (DCAT) can accommodate this need. Each state selects one hazard they will detail in the GAP Report, but the tool allows them to run as many scenario-specific reports that they wish (limited only by their hazard portfolio).

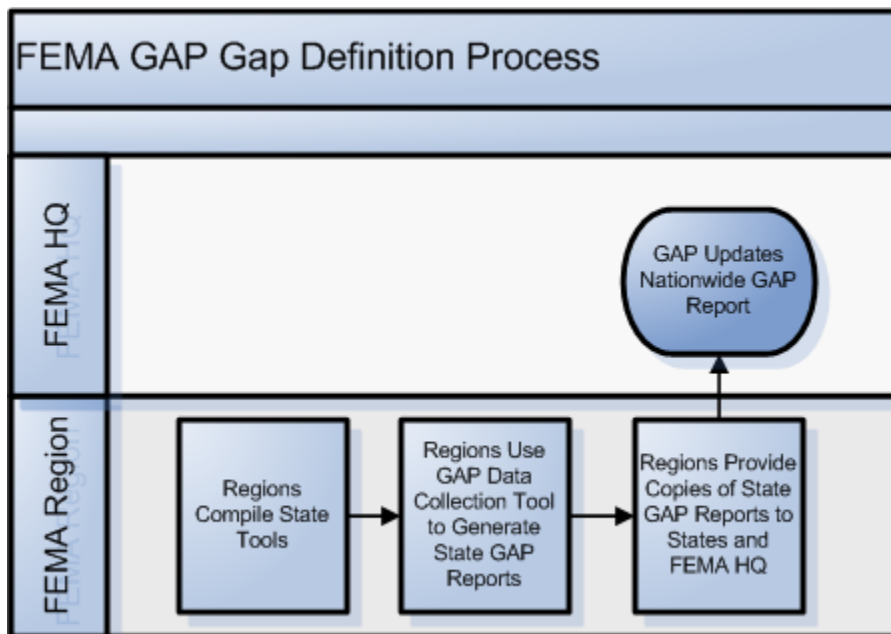


Figure 8: GAP Definition Process Diagram

Measuring Gaps

The discovery, analysis, and reporting of gaps is ultimately the responsibility of the FEMA regions. By this point in the process, each region will have collected or generated all the information required to perform the gap estimation. The region will only need to turn to its counterparts at the state level and at FEMA Headquarters to verify or supplement data or findings. This collective data resource will be used to generate the basis of the GAP Report by identifying all applicable capability and resource shortfalls and presenting them in a standard format.

Once the FEMA region has finished its gap analysis for all of its applicable states, a collated GAP Report is submitted to the GAP Management Office at FEMA Headquarters using the GAP Report template provided in the GAP Toolkit. The GAP Management Office will use these reports to generate a nationwide GAP Report that presents in standardized format the identified shortfalls across all states and regions. Reference the section titled “Data Security and Accuracy” for a description of confidentiality of compiled and collected information.

Phase 5: Develop and Implement Strategy

Phase Objectives

- ★ Analyze gaps in operational readiness
- ★ Identify solutions that address operational readiness gaps
- ★ Perform actions to address operational readiness gaps
- ★ Report updated baseline preparedness data

Deliverables

Updated Baseline Preparedness Data
Summary of Remediation Strategies

Key Stakeholder Roles and Responsibilities

FEMA Headquarters: Distribute reports to regions, programs, and directorates and apply GAP Reports to targeted response planning efforts.

FEMA Regions: Meet with states to discuss GAP Reports and facilitate communication with states and support partners to address shortfalls.

States: Work to address state-level capability and resource gaps. Work to improve capabilities, build upon resources, and strengthen state-to-state mutual aid support as necessary. Meet with local jurisdictions to address shortfalls. Compile and update baseline preparedness data as gaps are addressed.

Local Jurisdictions: Address capability and resource gaps and strengthen existing mutual aid agreements. Communicate with the private sector and nongovernmental organizations about shortfalls. Update baseline preparedness data as gaps are addressed.

The Private Sector and Nongovernmental Organizations: Work with local jurisdictions and states to assist in eliminating resource and capability shortfalls.

Overview

The purpose of GAP is not to merely generate reports on potential gaps, but rather to reduce vulnerability at the state level. By applying the findings of the GAP Report, states are provided with targeted priority areas where improvements to resources and capabilities are needed. Phase 5 is where actual response capability improvements are enacted and state-level disaster resilience is enhanced.

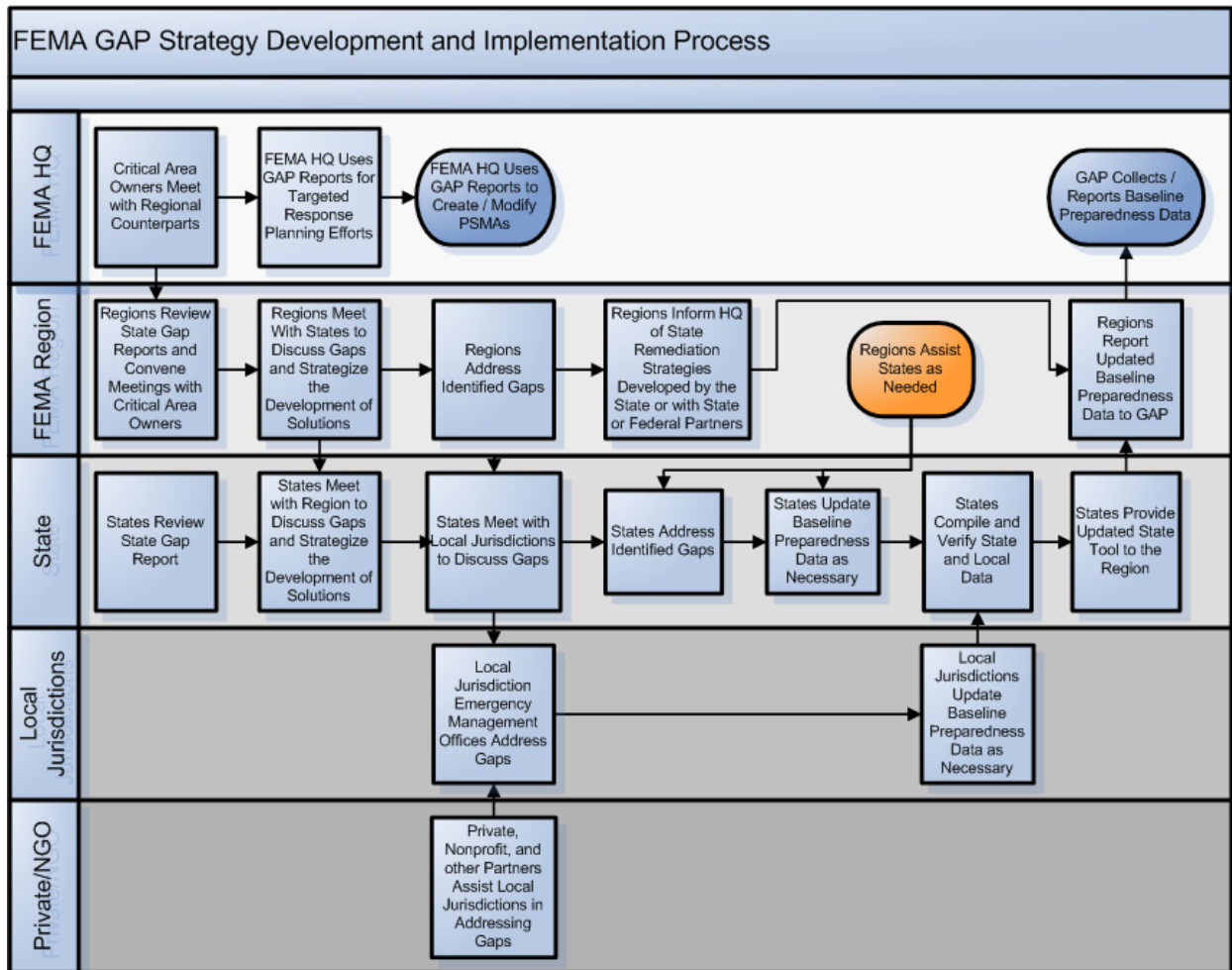


Figure 9: Strategy Development and Implementation Process Diagram

Strategy Development and Implementation Process

The GAP Management Office begins the strategy development and implementation process by releasing the GAP Reports to the FEMA regions. The regions, in turn, distribute these reports to states. The GAP Management Office will also release guidance that FEMA regions can use to assist states in their efforts to “close the gaps.” Armed with detailed information about their resource capability and gaps, states can begin to develop options to address their response shortfalls.

There are several ways in which states may address identified gaps. Guidance provided by the GAP Management Office will detail several options, including:

- The strengthening of mutual aid agreements between neighboring states
- Using grants to acquire training, manpower, equipment, plans, or other enhancements
- Assisting local jurisdictions in increasing their available resources and capabilities
- Promoting the development of stronger mutual aid agreements between local jurisdictions

-
- Providing or receiving emergency management training
 - Acquiring improvement of or additions to staff and emergency response resources
 - Developing Pre-Scripted Mission Assignments and/or Pre-Scripted Action Request Forms to address identified resource and response capability gaps
 - Gaining additional support provided by the FEMA Headquarters directorates to the FEMA regions, to include any of the above
 - Incorporating FEMA Headquarters response techniques and plans

FEMA regions will assist states in this process. States will need to consider their financial resources and human capital in order to prioritize how limited resources and manpower will be dedicated, and what additional resources can be tapped. FEMA regions are often best positioned to offer such advice.

The reduction or elimination of response gaps at all government and administrative levels is an ongoing process. As actions are taken to address existing shortfalls, gaps will begin to shrink or even disappear, and the states will be more prepared to handle future emergency events on their own, without having to call upon federal support. States and FEMA regions ensure that their GAP Report reflects current conditions by periodically updating the GAP Management Office as changes and preparedness improvements occur.

The GAP Management Office also uses the GAP Report for programmatic purposes and to measure federal-level gaps. FEMA can use data on state-level gaps to better target National Response Framework assistance provided in response to declared major disasters and emergencies. FEMA significantly strengthens its operational capacity by developing response solutions that closely match the anticipated needs of its state and local partners and identifies where federal resources do not yet meet anticipated state requests.

Phase 6: Evaluate and Apply Lessons Learned

Phase Objectives

- ★ Perform GAP self assessment to evaluate GAP lifecycle successes and roadblocks
- ★ Apply GAP lessons learned to future GAP efforts

Deliverables

GAP Lessons Learned Report

Key Stakeholder Roles and Responsibilities

FEMA Headquarters: Evaluate GAP lifecycle successes and failures. Meet with the regions to discuss and improve program processes. Draft and distribute a “GAP Lessons Learned” report and incorporate lessons into the GAP lifecycle.

FEMA Regions: Work with FEMA Headquarters to evaluate and improve program successes and roadblocks. Meet with states to discuss and improve lifecycle and processes. Meet with states to discuss upcoming activities and to apply lessons learned from the previous GAP lifecycle.

States: Work with FEMA regions to evaluate and improve program successes and roadblocks. Meet with regions to discuss upcoming activities and to apply lessons learned from the previous GAP lifecycle.

Overview

GAP is continually evolving and improving. For the program to work effectively, any inherent problems need to be immediately identified and addressed, and best practices need to be tracked and institutionalized. Each FEMA region and each state is likely to have a unique experience in selecting disaster scenarios, generating response requirements, collecting data, and identifying and addressing gaps. States and FEMA regions can greatly assist each other by sharing their valuable lessons learned.

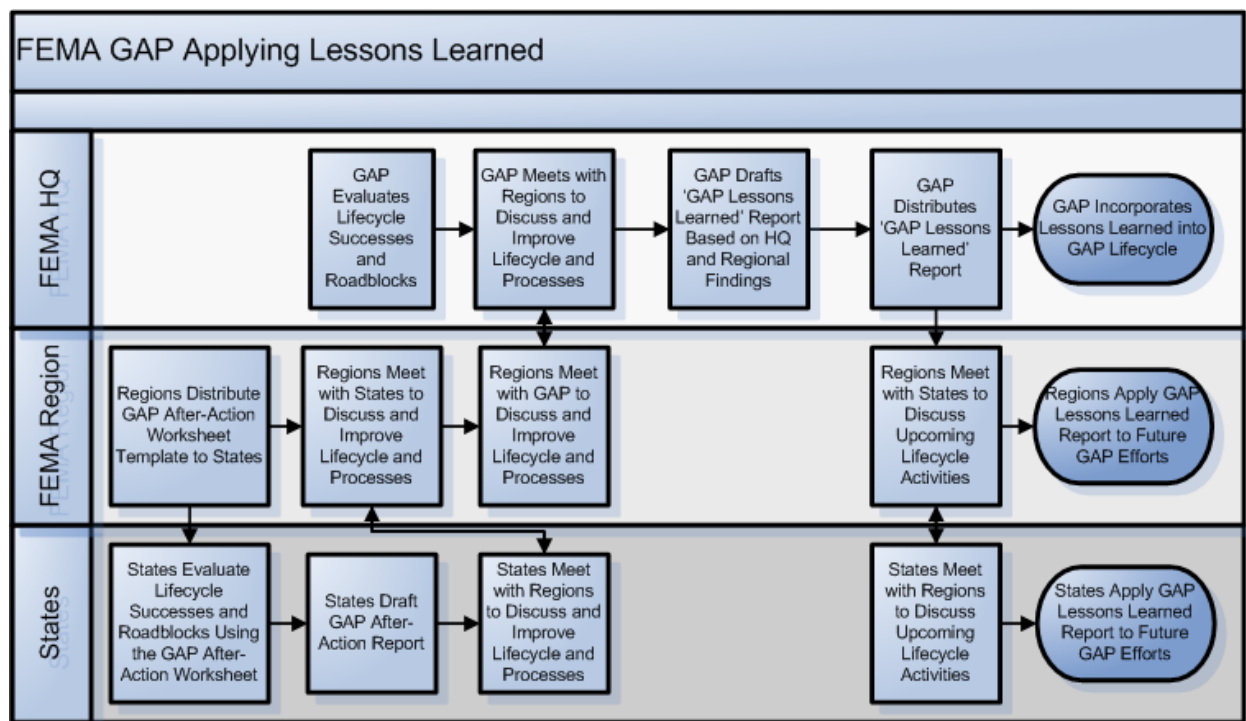


Figure 10: Applying Lessons Learned Process Diagram

Lessons Learned Reports

The GAP process is cyclical, and each annual cycle draws upon the lessons learned in previous cycles to ensure that the program constantly improves. States, FEMA regions, and the GAP Management Office will each generate self-assessment lessons learned reports in Phase 6.

States and FEMA regions each have an intimate experience with the actual operations of GAP, and therefore will be able to capture and report the most useful information about what worked and did not work in the GAP process. States and FEMA regions will draft self-assessment reports to capture these lessons and roadblocks. Regions will synthesize the state reports and report the collective region/state findings to FEMA Headquarters. The GAP Management Office will collate these nationwide lessons learned and generate a report that allows for the learning of lessons across all regions and states.

The GAP Toolkit will include an After Action Tool designed to guide regions and states in the development of their self-assessment reports.

Appendix 1: Program Integration

GAP is located within the FEMA Disaster Operations Directorate (DOD), Operations Management Division (OMD), Operational Integration Branch (OIB). In order to maximize the applicability and reach of the information generated by GAP, and to minimize the burden on GAP participants, GAP coordinates its efforts (either directly or indirectly) with other directorates, programs, and agencies, whenever possible. This appendix describes these efforts.

Catastrophic Disaster Planning Initiative

FEMA, Disaster Operations Directorate

The FEMA Catastrophic Disaster Planning Initiative was developed to address concerns that federal disaster response capabilities are not robust enough to effectively address the potential impact of a catastrophic disaster. The initiative fosters the development of vertically and horizontally integrated federal, state, and local catastrophic plans that are capable of providing the foundation for a unified national response. Plans and products resulting from the initiative will provide the cornerstone for the development of both the national doctrine and operational capabilities required to address catastrophic incidents.

As its name suggests, the Catastrophic Disaster Planning Initiative is focused solely on catastrophic events. In cooperation with state and local governments, the initiative has identified states and regions where catastrophic disaster risk is most significant, and is examining loss estimates and response requirements for each. State and local counterparts are presented with detailed disaster scenario consequence data and provided with the technical assistance necessary to draft catastrophic plans (including the identification of key roles, responsibilities, capabilities, and resources). Initiative representatives work directly with state and local governments to facilitate the planning process. FEMA Catastrophic Disaster Planning Initiatives are currently focused on four specific areas: New Madrid Seismic Zone (NMSZ), State of Florida, State of California, and State of Hawaii.

- **NMSZ Catastrophic Planning Project**

The New Madrid Seismic Zone Catastrophic Planning Project seeks to increase national readiness for a catastrophic earthquake in the New Madrid Seismic Zone (NMSZ). Through the analysis of a magnitude 7.7 earthquake scenario, the project seeks to create a series of annexes or supplements to existing plans with the following objectives:

- Improve response to a catastrophic earthquake and related hazards in the NMSZ
- Plan for a coordinated response and recovery effort among federal, state, and local agencies.
- Incorporate lessons from the Hurricane Katrina response, Southeast Louisiana Catastrophic Hurricane Plan, and previous earthquakes.

The NMSZ Catastrophic Planning Initiative seeks to foster the generation of catastrophic disaster plans at all government levels. GAP analyzes response readiness across a series of likely events rather than one specific occurrence. While both GAP and the Catastrophic Planning Initiative work to address the response capabilities of state and

local governments, the two programs have little similarity in the data upon which they depend and, likewise, the product of their efforts. GAP data could, however, be used to verify the resources and capabilities upon which the catastrophic plans are based, and could supplement catastrophic planning exercises scheduled for 2009 and 2010.

- **Florida Catastrophic Planning Project**

In 2006, the Florida Catastrophic Planning (FLCP) Project was founded after an examination of the Herbert Hoover Dike (HHD) around Lake Okeechobee revealed that failure in a major hurricane would present a range of catastrophic consequences. The project considers two distinct but interrelated events: a Category 5 hurricane making landfall in South Florida and a subsequent breach of the HHD that controls water levels around the lake. The intended results of this effort are two sets of plans:

- Federal, state, and county plans for a catastrophic event, specifically a Category 5 hurricane in South Florida.
- Federal, state, and county plans for the failure of the HHD.

To develop these plans, the Catastrophic Planning Initiative provides technical assistance to the affected state and local government agencies. The project focuses on response requirements specific to a catastrophic scenario. The efforts of GAP center on the measurement of all-hazards response capabilities across a series of events rather than one specific catastrophic scenario. GAP can supplement future catastrophic planning projects by providing a platform for states to measure gaps in relation to catastrophic events and to test the validity of plans that are developed.

- **California**

A California Catastrophic Disaster Planning Initiative is currently underway. The results of the NMSZ and Florida Catastrophic Disaster Planning Initiatives, and the associated grass roots workshops, operational planning, exchange of information, training and exercises are being used to facilitate planning in California. This two-phased initiative currently involves scoping activities in conjunction with the State of California to determine catastrophic seismic incident readiness planning in both Northern and Southern California. In coordination with federal and state agencies, phase one of the initiative has resulted in the creation of an all-hazard California Catastrophic CONOPS and a San Francisco Bay Area Earthquake CONPLAN.

- **Hawaii**

Work is underway on the development of the CONPLAN scenario involving a Category 4-5 hurricane strike on the southern part of the Island of Oahu. A major focus of the planning effort involves the challenge of providing rapid large-scale disaster relief to the geographically-isolated island.

Civil Support Task List (CSTL)

National Guard

The Civil Support Task List (CSTL) is a California National Guard initiative that kicked-off in June of 2008. CSTL seeks to bridge the communication gap between civilian emergency responders requesting goods, and the military emergency responders providing them, by creating a common lexicon that makes sense to both emergency response communities. The CSTL is based on two principles: developing a common language that translates “military speak” to fit in the National Response Framework, and developing a common operating picture across source and location. When developed, these capabilities will be arranged in a centralized catalog that integrates into other efforts, with the goal of speeding up support when it is needed from the National Guard and potentially other non-civilian emergency response agencies.

GAP and CSTL complement each other well. As states and FEMA regions continue to define response shortfalls, CSTL provides a concise, centralized location to define potential resources.

Comprehensive Assessment System (CAS)

FEMA, National Preparedness Directorate

Efforts are currently underway to develop a Comprehensive Assessment System that will identify issues and shortfalls across the spectrum of homeland security operations with respect to resource allocation and the performance of specific all-hazards capabilities at the federal, state, tribal, and local jurisdictional levels.

Mandated by PKEMRA 649 (c) (1-4), this predictive management tool will assess compliance with the National Preparedness System, the National Incident Management System (NIMS), and other related plans; assess capability levels against target levels; assess resource needs to meet target levels; and assess the performance of training, exercises, and operations. The first CAS survey is scheduled for release to the stakeholder community in summer 2009.

CAS will function as a central repository for national preparedness data. In its first iteration, the system will integrate data from prior reports and legacy assessment systems to reduce the need for duplicative data calls. The first CAS survey will address questions about current capabilities that have not already been answered through other assessments and reports, focusing on key measures drawn from the 37 capabilities set forth in the Target Capabilities List (TCL) 2.0. The survey will be web-based, using the National Incident Management System Compliance Assistance Support Tool (NIMSCAST).

As a single, integrated assessment system, CAS will increase the quality and accuracy of preparedness reporting while eliminating redundancy and lightening the overall reporting burden. GAP is a key contributor to CAS.

The GAP Management Office is exploring several ways to manage GAP data through the use of a web-based tool. In addition to providing CAS information collected via GAP’s Data Collection and Analysis Tool (DCAT), the GAP Management Office is coordinating with the CAS

development team to examine potential integration into the CAS web-based tool, thus striving to eliminate duplicative data collection efforts.

Comprehensive Preparedness Guide 101 (CPG 101)

FEMA, National Preparedness Directorate

FEMA’s National Preparedness Directorate coordinates the production of CPG 101: *Producing Plans for State, Territorial, Tribal, and Local Governments* which provides response and recovery planning guidance to state, territorial, tribal, and local governments⁴.

CPG 101 integrates concepts from the National Incident Management System (NIMS), National Response Framework (NRF), the National Strategy for Information Sharing (NSIS), and the National Infrastructure Protection Plan (NIPP). CPG 101 incorporates recommendations from the 2005 Nationwide Plan Review and also serves as a companion document to the Integrated Planning System (IPS) and fulfills the requirement that the IPS address state and local planning efforts⁵.

There are a number of areas where coordination between GAP and CPG 101 is possible. For instance, CPG 101 recommends that planning include the development of “strategic and operational plans based upon facts or assumptions about the circumstances involved in a hypothetical situation”⁶. GAP supports this process throughout its six phases, most prominently during the scenario development process described in Phase 1 and through the use of planning assumptions (upon which the response gaps are measured) to determine potential impacts prior to an event.

GAP can also support information sharing between various agencies/organizations or within fusion centers. Information obtained from the gap analysis process can support jurisdictions that “[p]erform tactical, operational, and strategic planning; and develop training and exercises”⁷, thereby reinforcing the all-hazards planning approach. Planners will have the ability to leverage GAP data and information to validate the preparedness estimates (PEs)⁸ that result from the CPG 101 planning process. This same information can assist participants in identifying potential shortfalls, minimizing the double counting of resources (e.g., neighboring organizations utilizing the same vendor contract that cannot simultaneously fulfill both jurisdictions’ requirements), highlighting areas where additional training may be needed, and identifying any additional areas that need to be exercised.

GAP and CPG 101’s Characteristics of Effective Planning Processes⁹ share many similarities, including that they:

- Are iterative

⁴ CPG 101, version 1.1.4, Preface-1.

⁵ CPG 101, version 1.1.4, Preface-1.

⁶ CPG 101, version 1.1.4, Intro-1.

⁷ CPG 101, version 1.1.4, 2-4.

⁸ CPG 101, version 1.1.4, 2-8.

⁹ CPG 101, version 1.1.4, 3-2.

- Attempt to reduce unknowns in the anticipated event, while acknowledging it is impossible to preplan every aspect of every mission area
- Aim at evoking appropriate actions
- Are based on what is likely to happen and what people are likely to do

Disaster Emergency Communications (DEC): Communications Project

FEMA, Disaster Operations Directorate

Disaster Emergency Communications (DEC) is concluding a 28-state initiative that analyzes emergency communications in select states. DEC's mission focus for this project "is to provide communications capabilities when landlines and cellular networks are damaged or congested, particularly during the first 96 hours of a disaster for situational awareness and command and control, state and local first responders, and emergency responders performing disaster missions." At the conclusion of each state visit, the communications team writes a detailed report that encompasses communications requirements, proposed mitigation strategies, negotiated mission assignments, and acquisition strategies. The team also writes regional emergency communications plans and equipment specifications.

At the completion of the DEC communications project, there will be 28 extensive state communications reports, which will be used as the resource to complete the critical area of communications for GAP. In addition, the GAP team is working with DEC to develop a survey tool that will capture high-level communications data from the states DEC misses. Where no in-depth DEC report is completed, the GAP Data Collection and Analysis Tool (DCAT) provides the mechanism to better understand emergency communication needs and provides a forum to develop strategies among various partners.

The following states have participated in the Disaster Emergency Communications program:

<u>Completed 2007:</u>	<u>Completed 2008:</u>	<u>Completed 2009:</u>	<u>Plans Under Development:</u>
Alabama	Connecticut	Colorado	New York
Louisiana	Delaware		Alaska
Maryland	Florida		Utah
Mississippi	Georgia		Hawaii
North Carolina	Massachusetts		
Puerto Rico	Maine		
South Carolina	Nevada		
Virgin Islands	New Hampshire		
Virginia	New Jersey		
	Rhode Island		
	Texas		
	Vermont		
	Washington DC		
	Tennessee		

The DEC Communications project is scheduled to expand into several additional states by mid-2009.

Emergency Management Accreditation Program (EMAP)

The Emergency Management Accreditation Program (EMAP) is an independent, tax-exempt, nongovernmental organization. The program provides a peer-reviewed accreditation process. It is a voluntary program for state and local emergency management programs. Accreditation is a means of demonstrating, through self-assessment, documentation, and peer review, that a program meets national standards for emergency management programs.¹⁰

EMAP collects high-level information about programs and plans in position. It does not gather nor analyze specific response resource data. The process reviews a program's administration. For example, EMAP would assess if a jurisdiction "has a documented program that includes an executive policy or vision statement for emergency management, a multi-year strategic plan, developed in coordination with program stakeholders [...]."¹¹

Data collected through EMAP cannot be shared with or used by FEMA. According to the cooperative agreement between the jurisdiction and EMAP, "[...] the report is confidential and intended for program use only."

In some instances, a jurisdiction could use FEMA GAP to meet an EMAP standard. For example, EMAP Standard 4.8.2 states: "Resource management objectives shall be established by conducting a periodic gap analysis." Also, EMAP Standard 4.8.3 states: "Resource needs and shortfalls are identified by the program and are prioritized and addressed through a variety of initiatives [...]."¹² Although EMAP standards do not require a jurisdiction to implement the FEMA Gap Analysis Program, GAP would help a jurisdiction meet these standards.

Homeland Security Exercise and Evaluation Program (HSEEP)

FEMA, National Preparedness Directorate

The Homeland Security Exercise and Evaluation Program (HSEEP) is a capabilities and performance-based exercise program that provides a standardized policy, methodology, and terminology for exercise design, development, conduct, evaluation, and improvement planning. Through policy and guidance, HSEEP ensures that exercise programs conform to established best practices, and helps provide unity and consistency of effort for exercises at all levels of government. Exercises allow homeland security and emergency management personnel at all government levels to train and practice prevention, protection, response, and recovery capabilities in a realistic but risk-free environment.

GAP and HSEEP are both capabilities-based programs that provide a valuable tool that agencies at all levels of government can use to assess and improve response capabilities and to address recognized shortfalls. Through HSEEP, the FEMA National Preparedness Directorate aims to help entities obtain objective assessments of their capabilities so that gaps, deficiencies, and vulnerabilities are identified and remedied prior to a real incident.

¹⁰ <http://www.emaponline.org/?35>

¹¹ EMAP Standard September 2007, 3.1.1

¹² <http://www.emaponline.org/?374>

GAP can support HSEEP by providing data for the development of exercise planning assumptions. HSEEP exercises are an effective means to validate planning assumptions. States can also utilize disaster scenarios that have been developed for one of these programs (either in Phase 1 of GAP or for the basis of an HSEEP exercise) to meet the needs of the other program (e.g., an earthquake scenario used as the basis of a GAP analysis can then be developed into a tabletop, functional, or full-scale exercise).

Mission Assignment Program (MAP)

FEMA, Disaster Operations Directorate

GAP is directly related to the Mission Assignment Program (MAP). When state shortfalls require some level of federal support, a likely next step is the development of an appropriately crafted Pre-Scripted Mission Assignment (PSMA) that captures the required task for the appropriate federal agency and addresses the identified gap.

Likewise, if during a response to a major disaster it is determined that there is a specific requirement that a federal agency was not aware of prior to the event, but needed to be mission assigned during the event, the GAP Management Office will consider incorporating that response category into future assessments. After Action Review (AAR) processes will validate how well PSMA resolved gaps, thus allowing PSMA to be continually revised, improved, and expanded.

NIMS Compliance Assistance Support Tool (NIMSCAST)

FEMA, National Preparedness Directorate

The NIMS Compliance Assistance Support Tool (NIMSCAST) is designed for the emergency management community as a comprehensive self-reporting tool. The use of NIMSCAST allows the nation's emergency management community to demonstrate compliance with the National Incident Management System (NIMS) requirements, as determined by the National Integration Center (NIC).

The purpose of NIMS is to provide “a consistent nationwide template to establish federal, state, tribal and local governments and private sector and nongovernmental organizations to work together effectively and efficiently to prepare for, prevent, respond to and recover from domestic incidents, regardless of cause, size or complexity, including acts of catastrophic terrorism. NIMS benefits include a unified approach to incident management; standard command and management structures; and emphasis on preparedness, mutual aid and resource management.”¹³

HSPD-5 requires federal departments and agencies to make adoption of the NIMS by state and local organizations a condition for federal preparedness assistance. The NIMSCAST facilitates the adoption of the NIMS by state, local, and tribal governments in order to meet the requirement established in HSPD-5.¹⁴

¹³ <http://www.fema.gov/emergency/nims/FAQ.shtm#item8>

¹⁴ <http://www.fema.gov/nimscast/About.do;jsessionid=38647DF1D326A83E2BC5D16EBB2BD854>

In “NIMS Compliance Objectives & Metrics STATE-March 2008” several questions are asked regarding “inventories” in Compliance Objective 20. The purpose of this objective is to ensure the use of typed resources, not quantifying them. This ensures that various stakeholders are using the same terminology. <http://www.fema.gov/library/viewRecord.do?id=3241>

The focus of NIMSCAST is on NIMS compliance, whereas GAP’s main focus is on understanding and supporting the immediate response requirements. As the GAP data collection tool is revised, the GAP Management Office aims to incorporate typed resource terms whenever possible.

State Preparedness Reports (SPR)

FEMA, National Preparedness Directorate

The State Preparedness Report (SPR) was developed to satisfy PKEMRA preparedness-based reporting requirements. Under this initiative, states and territories submit an annual SPR as a means to report on the progress, capabilities, and accomplishments of their all-hazards preparedness program. This report is designed to enable states to “communicate to Congress current accomplishments in building National Priorities and capabilities and how they will continue to increase statewide preparedness.”¹⁵

The states develop their individual SPR using a standard template, wherein they address the actions they have taken to address the eight National Priorities (as identified in the National Preparedness Guidelines), namely:

- Implement the NIMS and the NRF
- Expand Regional Collaboration
- Implement the National Infrastructure Protection Plan (NIPP)
- Strengthen Information Sharing and Collaboration Capabilities
- Strengthen Interoperable and Operable Communications Capabilities
- Strengthen CBRNE Detection, Response, and Decontamination Capabilities
- Strengthen Medical Surge and Mass Prophylaxis Capabilities
- Strengthen Planning and Citizen Capabilities

For each of these National Priorities, states must describe:

1. Capabilities
2. Federal Assistance Used in FY08
3. Targets and Monetary Resource Requirements

While both GAP and SPR detail information related to state-level preparedness, the information contained in the GAP Reports and the SPRs are complementary rather than duplicative. Whereas GAP seeks to provide a highly operational tool focused more on quantitative or

¹⁵ Federal Emergency Management Agency. 2007. Fiscal Year 2008 State Preparedness Report Guidance. FEMA. Washington, DC. Page 2.

granular capabilities data, SPR looks at more broad-sweeping priorities and addresses states' progress in meeting preparedness obligations and goals.

Target Capabilities List (TCL)

FEMA, National Preparedness Directorate

The Target Capabilities List (TCL) identifies and defines capabilities that the Nation may need to achieve and sustain, depending on relevant risks and threats, in order to be prepared. Capabilities may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the desired outcome. Entities are expected to develop and maintain capability at levels that reflect the differing risk and needs across the country. The TCL identifies 37 capabilities that were developed with the active participation of stakeholders representing all levels of government, the private sector, and nongovernmental organizations¹⁶. Users refer to the TCL to design plans, procedures, training, exercises, and evaluations that develop and assess capacity and proficiency to perform their assigned missions and tasks in major events. The TCL is intended to serve as foundational reference document and planning guide to achieve national preparedness.

GAP is a response tool with a defined focus on specific critical areas necessary for an efficient and effective response, while providing an understanding of the level of federal support states would potentially require in response to a disaster that stretches their resources. In an effort to enhance the analysis of response resources, planning data is requested through the GAP Data Collection and Analysis Tool (DCAT) resulting in overlap between data collected through both GAP and TCL. To eliminate possible duplication of effort, the GAP Data Collection and Analysis Tool (DCAT) was cross-walked with relevant areas analyzed by the TCL to identify duplicative questions. Each question posed on the GAP survey where data may be garnered through the TCL process was footnoted in the GAP Data Collection and Analysis Tool (DCAT) by identifying the TCL Common Mission, Activity, Critical Task, Performance Measure (where applicable), and page number. The purpose of the footnote is twofold:

1. Local, tribal, or state emergency managers completing the GAP Data Collection and Analysis Tool (DCAT) are able to see the footnote and recognize that if an assessment or exercise was completed using the TCL in the respective state and data is available, no further action is needed.
2. The footnote directs regional stakeholders to where the data is stored in the TCL allowing for easy reference.

If a state has completed an assessment or exercise utilizing the TCL and maintained the relevant data, GAP will not request local, tribal, or state stakeholders to supply the relevant information, but rather request FEMA regions obtain the requested data using the provided TCL references and populate the GAP Data Collection and Analysis Tool (DCAT) accordingly.

¹⁶ US Department of Homeland Security. 2007. Target Capabilities List. DHS. Washington, DC.
<http://www.fema.gov/pdf/government/training/tcl.pdf>

Appendix 2: Homeland Security and Emergency Management Grant Programs

Many of the activities associated with the completion of a FEMA Gap Analysis are considered eligible costs under various grant programs administered by FEMA. State and local grant recipients can leverage this funding to support participation in GAP. Additionally, the identification of resource or capability gaps represents opportunities to prioritize grant spending and to identify future application needs. Furthermore, the information contained in the GAP Reports could be leveraged to justify grant-eligible needs or to measure grant-funded project outcomes from one year to the next. It is not the intention of GAP to expand the range of requirements mandated by these grant programs by including them here and in the grant guidance, but rather to illustrate how GAP may be used to better perform existing preparedness and planning tasks already conducted by state and local emergency management offices. Three of these grant programs in particular, described below, are very closely associated with GAP:

Emergency Management Performance Grants (EMPG)

<http://www.fema.gov/government/grant/empg/index.shtm>

Emergency Management Performance Grants (EMPG) directly support several national priorities outlined in the National Preparedness Guidelines, including Strengthening Planning and Expanding Regional Collaboration. In FY2009, EMPG funds can be used for activities and costs related to GAP, including hiring new personnel or contractors, program evaluations, and the assessment of hazards and risks.

Homeland Security Grant Program (HSGP)

<http://www.fema.gov/government/grant/hsgp/index.shtm>

The overarching objectives of HSGP's four grant programs involve, among other things, addressing capability requirements, measuring the processes by which the national preparedness guidelines are achieved, and a strengthening of planning. GAP may be implemented in support of planning under *Developing or Conducting Assessments* according to the FY2009 grant guidance.

Regional Catastrophic Preparedness Grant Program (RCPGP)

<http://www.fema.gov/government/grant/rcp/index.shtm>

The Regional Catastrophic Preparedness Grant Program (RCPGP) was created to enhance catastrophic incident preparedness in high-risk, high-consequence urban areas. The program limits eligibility to 10 urban areas. GAP can assist states in the effort to conduct catastrophic planning by providing data collection and analysis tools to identify response related resource gaps and shortfalls.