



RDPO

Regional Disaster Preparedness Organization

Unified. Prepared. Resilient.

**Program Management
Standard Operating
Procedure:**
for Urban Areas Security
Initiative (UASI) Program Grant
Awards and RDPO Local
Contributed Funds

October 13, 2017 Update

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ACRONYMS

DHS	U.S. Department of Homeland Security
DWG	Discipline Work Group
FEMA	Federal Emergency Management Agency
GAA/POC	Grant Administrative Agency/Point of Contact (i.e., PBEM, for UASI grants)
GFC	Grants and Finance Committee
LCF	Local Contributed Funds (i.e., from RDPO Contributing Partners)
LCSM	Local Cost Share Method
PC	Policy Committee
PMR	Portland Metropolitan Region (A.K.A., Portland Urban Area)
PrC	Program Committee
PUA	Portland Urban Area (A.K.A., Portland Metropolitan Region)
PUAHSS	Portland Urban Area Homeland Security Strategy (A.K.A., the RDPO Strategic Plan)
RDPO	Regional Disaster Preparedness Organization
SAA	State Administrative Agency (i.e., Oregon Emergency Management for the UASI grant)
SC	Steering Committee
TF	Task Force
UASI	Urban Areas Security Initiative
UAWG	Urban Area Work Group (A.K.A., the RDPO Structure)

Note: This document supersedes “Standard Operating Procedure: Urban Areas Security Initiative (UASI) Program Management under the Regional Disaster Preparedness Organization (RDPO), April 11, 2012.”

I. Background

The Regional Disaster Preparedness Organization (RDPO) is a partnership of government agencies and private and non-profit organizations working together to build and maintain regional disaster preparedness capabilities in the Portland Metropolitan Region (PMR)¹ through strategic and coordinated planning, training and exercising, and investment in technology and specialized equipment.² The PMR encompasses the City of Portland; Clackamas, Columbia, Multnomah, and Washington Counties in Oregon; and Clark County in Washington.

The work of the RDPO is conducted and coordinated through a well-defined structure of committees and work groups, including Policy, Steering and Program Committees; discipline-specific work groups; and cross-discipline task forces. RDPO public, private and non-profit sector partners from across the PMR work collaboratively to develop, maintain, and implement a regional disaster preparedness vision, strategy (i.e., strategic plan), work plan, and process.



Figure 1: Portland Metropolitan Region

The federal Urban Areas Security Initiative (UASI) was established in 2003 as part of the U.S. Department of Homeland Security Grant Program (HSGP) and awards grant funds to address the unique risk-driven and capabilities-based planning, organization, equipment, training, and exercise needs of high-threat, high-density metropolitan areas (designated, “Urban Areas”). UASI program implementation and governance must include regional partners (i.e., an Urban Area Work Group or UAWG) and should have balanced representation among entities with operational responsibilities for prevention, protection, mitigation, response, and recovery activities within the region. With its broad, inclusive structure, the RDPO functions as the PUA’s Urban Area Work Group (UAWG) and the RDPO Strategic Plan serves as the Portland Urban Area Homeland Security Strategy (PUAHSS) for the purposes of guiding UASI and other RDPO disaster preparedness investments in the PMR.

In support of some of its administrative, operating and program costs, the RDPO also receives annual contributions from its Core Group and other Participating Jurisdictions³, known as “Local Contributed

¹ Otherwise known as the Portland Urban Area (PUA) for UASI purposes.

² From 2008 – 2009, the Portland UAWG engaged stakeholders from throughout the PUA in the development of a more cohesive, integrated and efficient organizational structure to coordinate regional all-hazards disaster preparedness than existed at the time. Formalized by [intergovernmental agreement](#) in January 2015, the RDPO replaces the Regional Emergency Management Group (REMG), which was established initially in 1993 and reaffirmed in 2003, and incorporates the organization and processes created in 2003 to manage the Urban Areas Security Initiative (UASI) grant awarded to the Portland Urban Area.

³ Core Group refers collectively to the group of Participating Jurisdictions that contribute funds to cover the RDPO’s core operating and administration costs, as set forth in the RDPO IGA. Participating Jurisdictions are the counties,

Funds”, which are calculated by a local cost share methodology that is updated annually and approved by the RDPO Policy Committee/Core Group prior to the start of a new fiscal year (July 1 – June 30).

The fiscal agent for the RDPO, including Local Contributed funds and the UASI Grant Program, is the City of Portland. The assigned Grant Administrator/Point of Contact (POC) is the Director of the Portland Bureau of Emergency Management (PBEM).

These standard operating procedures govern the allocation of all UASI Grant Program Awards and RDPO Local Contributed Funds.

II. RDPO/UAWG Composition, Roles and Responsibilities, and Decision-Making

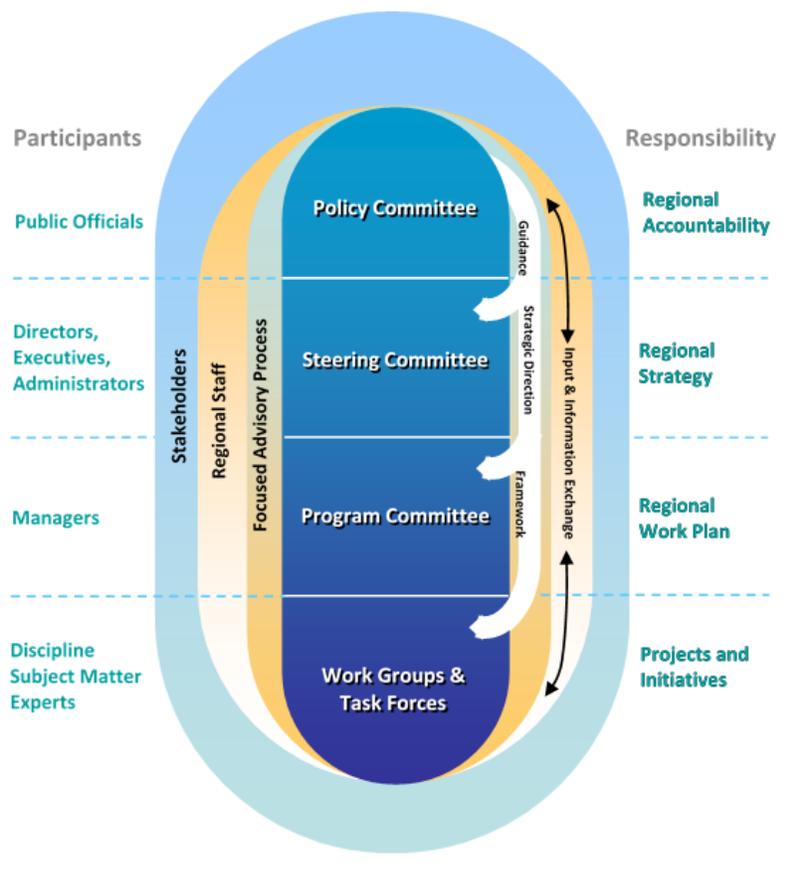


Figure 2: The RDPO Structure

The RDPO/Portland UAWG is comprised of these primary organizational components:

- Policy Committee (PC)
- Steering Committee (SC)
- Program Committee (PrC)
- Discipline Work Groups (DWGs) and Task Forces (TFs)
- Grants and Finance Committee (GFC)
- Grant Administrator/Point of Contact (GA/POC)/RDPO Lead Administrative

cities, regional governments, and special districts within the region that sign the RDPO IGA.

- Agency
- RDPO Manager and planning and administrative staff

Note: [Click here](#) to see the RDPO structure unpacked, including current DWGs and TFs.

- A. Policy Committee (PC)** — The Policy Committee is the governing body of the RDPO and is comprised of elected officials and chief executive officers from Participating Jurisdictions and other member organizations. The Policy Committee composition includes:
- An elected official from the City of Portland;
 - An elected official from each of the Region’s five counties;
 - An elected official from every other Participating Jurisdiction whose governing body is comprised of elected officials;
 - The chief executive officer or designee of every other Participating Jurisdiction whose governing body is not comprised of elected officials; and
 - The chief executive officer or designee of any other member organization that makes a financial contribution as indicated in section VIII of the RDPO IGA (i.e., contributing member).

The Policy Committee:

- Provides political leadership to develop and promote a unified regional vision and strategy for disaster preparedness and to establish and operate a sustainable regional disaster preparedness organization;
- Approves and promotes the RDPO Strategic Plan/Portland Urban Area Homeland Security Strategy (PUAHSS) and priorities, as developed by the Steering Committee;
- Provides political leadership to promote the development, adoption, and implementation of regional disaster preparedness policies;
- Advocates on state and federal bills and other issues to advance disaster preparedness and resilience priorities in the RDPO strategic plan;
- Approves budget, grant, contracting, and other financial procedures, which define organizational roles, responsibilities, and authorities for management of UASI and other funds contributed to the RDPO or awarded to the PUA and managed by the RDPO;
- Reviews the efficacy of the RDPO and its IGA on an on-going basis; and
- Advises on issues brought forward by the Steering Committee.

The designated representative to the PC from each contributing member organization has the right to vote on all matters before the PC. Representatives from non-contributing member organizations may participate in all PC discussions and deliberations but may not vote on matters related to the RDPO’s financial activities⁴. They may, however, vote on all other matters before the Committee.

⁴ Financial Activities include establishing the contribution amounts and allocation formulas for local partner contributions to the RDPO; approving grant applications, budgets and expenditures; and allocating, reallocating grant and other funds contributed or made available to the organization.

B. Steering Committee (SC) —The Steering Committee is comprised of senior executives from Participating Jurisdictions and other member organizations and includes both organizational and discipline-specific representatives. The Steering Committee composition includes:

- A representative from the City of Portland;
- A representative from each of the PMR/PUA’s five counties;
- A representative of every other Participating Jurisdiction;
- A representative of any other member organization that makes a financial contribution as indicated in section VIII of the RDPO IGA (i.e., contributing member);
- When not already represented on the Committee, a representative from each of the following disciplines – fire, law enforcement, public works, emergency management, public safety communications, public health, and healthcare;
- A non-governmental organization representative;
- A private sector utility representative;
- A private sector industry representative; and
- Up to two at-large representatives.

The Steering Committee:

- Develops and updates the RDPO Strategic Plan/PUAHSS every three to five years through a process that engages the entire organization and key external stakeholders;
- Approves the annual RDPO Program Development/Projects Pipeline process, including establishing priorities and other project development guidance/requirements;
- Approves, adjusts as needed, and prioritizes a set of projects recommended by the Program Committee for the RDPO Project Pipeline (pre-award of funding) and projects for reallocation of funding (within assigned authority limit);
- Approves the UASI grant application timeline to ensure completion of the application by the grant submission deadline;
- Based on grant award guidance in the HSGP Notice of Funding Opportunity (NOFO), determines the priorities/investment justifications and selects and approves the final set of projects from the RDPO Projects Pipeline to include in the UASI grant award application;
- Approves other RDPO Pipeline projects for funding with RDPO Local Contribution Funds;
- Approves project amendments within authority limits set by the Policy Committee;
- Reviews and approves the policies and procedures of all committees and work groups, except those of the Policy Committee, which approves its own.
- Develops, and adopts where appropriate, such other policies and procedures as are necessary to ensure effective Committee and organizational operations and administration; and
- Monitors and evaluates the overall effectiveness of the RDPO program and organization and recommends/makes strategic or organizational changes as appropriate.

The designated representative to the SC from each contributing member organization has the right to vote on all matters before the SC. Representatives from non-contributing member organizations may participate in all SC discussions and deliberations but may not vote on matters related to the RDPO’s financial activities. They may, however, vote on all other matters before the Committee.

- C. Program Committee (PrC)** —The Program Committee is comprised of the chairs of the RDPO’s Discipline Work Groups (DWGs), and a separate chair and vice chair drawn from the DWGs and elected by the Committee. The Committee also includes the chairs of all chartered RDPO task forces, a representative of the RDPO’s Grants and Finance Committee, a representative of the State Administrative Agency⁵ (i.e., Oregon Office of Emergency Management), and RDPO staff.

The Program Committee (PrC):

- Contributes to the development, implementation, and maintenance of the RDPO Strategic Plan/PUAHSS;
- Vets all project proposals, including project narratives and budgets, submitted as part of the RDPO Projects Pipeline process, using the Steering Committee’s project development guidance;
- Ensures cross-discipline coordination and information sharing among the DWGs.
- Develops project proposals for projects that overlap multiple WGs or for which there is no responsible WG or task force in place;
- Approves project amendments within authority limits set by the Policy Committee; and
- Charters task forces, as needed, to implement multi-disciplinary projects, and oversees task force progress;

The PrC’s Chair and Vice Chair and the Discipline Work Group chairs have the right to vote on all matters before the Committee. Other Program Committee representatives may participate in Committee discussions and deliberations but may not vote.

- D. Discipline Work Groups (DWGs)** — Discipline Work Groups (DWGs) are comprised of staff from Participating Jurisdictions and other member organizations. Some DWGs may have one or more sub-committees focused on a closely aligned sub-discipline or subject matter.

The DWGs:

- Provide expert advice to the Program Committee on regional capabilities, strategic needs and priorities, and recommended initiatives, policies, and procedures;
- Design, propose and execute projects in alignment with the RDPO Strategy/PUAHSS and other priorities and guidance provided by the Steering Committee;
- Provide group members to contribute to the annual Threat and Hazard Identification and Risk Assessment (THIRA) update process, to serve on task forces chartered by the Program Committee, and to complete other priority RDPO work; and
- Monitor and report on the progress of assigned projects and other RDPO work.

Each DWG maintains its own written decision-making process, which typically includes simple majority voting of its designated voting membership and/or consensus, depending upon the matter.

⁵State Administrative Agency (SAA) refers to the state agency responsible for administering homeland security grants, including the Urban Areas Security Initiative grant. For the PUA, that agency is the Oregon Office of Emergency Management (OEM).

- E. Task Forces (TFs)** — Task Forces are multi-discipline bodies comprised of representatives drawn from RDPO Discipline Work Groups. Other representatives from within and outside of the organization may participate in task force activities to provide appropriate subject matter expertise.

Task Forces:

- Implement the regional strategy and work plan by executing assigned projects and design the next phase(s) of a project and submit as project proposals for the RDPO Project Pipeline process;
- Provide expert advice to the Program Committee on regional capabilities, strategic needs and priorities, and recommended initiatives, policies, and procedures;
- Develop coordinated, multi-discipline approaches; and
- Monitor and report on the progress of assigned work to their parent DWG or Committee.

Each task force maintains its own decision-making process (e.g., simple majority voting of its designated voting membership and/or consensus).

- F. Grants and Finance Committee (GFC)** — The GFC is comprised of financial staff from Participating Jurisdictions and other member organizations. At minimum, the Committee will include representatives from the UASI Grant Administrator/Point of Contact (see point G below), each of the region’s five counties, any other contributing member that wishes to designate a representative to the GFC, and the SAA. The GFC works together to ensure that regional partners/grant sub-recipients comply with federal, state, local, and city funding requirements. GFC members assist PBEM in monitoring compliance, including identifying challenges to be addressed and best practices that can be shared among members and with the SAA and FEMA. The GFC does not make governance or program decisions.

- G. UASI Grant Administrator/Point of Contact (GA/POC)** — The UASI GA/POC (also known as the RDPO Lead Administrative Agency)⁶ represents the fiscal agent, the City of Portland, and is responsible for communication and coordination with the SAA, Oregon Emergency Management (OEM). For the period of this SOP, the GA/POC is the Portland Bureau of Emergency Management (PBEM).

As the GA/POC for PUA-awarded UASI grants and RDPO Local Contributed Funds, PBEM provides fiscal oversight, accounting, grant management and procurement/contracting services, and is responsible for ensuring grant compliance and sound fiduciary performance. In addition, PBEM:

- Designs the program development processes and tools, in collaboration with the RDPO Manager, RDPO planning staff and the Program and Steering Committees;
- Manages the RDPO Projects Pipeline process, in coordination with RDPO staff

⁶ The Lead Administrative Agency (LAA) is an RDPO Participating Jurisdiction selected by the Policy Committee to support the organization’s personnel, administrative, and fiscal operations. The responsibilities of the LAA, the obligations of the RDPO as it pertains to its relationship with the LAA, and the mutual understandings between the LAA and the RDPO will be spelled out in a Service Level Agreement (SLA) negotiated between the two parties.

- and the Program and Steering Committees;
- Completes and submits federal and state grant applications, manages the project amendments processes, and approves project amendments within authority limits set by the Policy Committee;
- Coordinates with the RDPO Manager on the annual Local Cost Share Method and manages the fund;
- Submits proposals and reports to the SAA;
- Provides grant program implementation updates to the Program and Steering Committees; and
- Leads and coordinates the Grants and Finance Committee.

H. RDPO Manager and Other RDPO Staff —The RDPO Manager, among other things, manages the organization, including facilitating the Policy and Steering Committees; develops and maintains new relationships for the organization; designs and facilitates the strategic planning process and writes and updates the strategic plan; supports the launch of new projects/initiatives and the formation/launch of any new DWGs or task forces; and coordinates all RDPO advocacy and communications.

The RDPO Planning Coordinator, among other things, facilitates the annual update of the Portland Urban Area Threat and Hazard Identification and Risk Assessment (THIRA), data from which feeds into the RDPO’s strategic planning process and guides project investments; manages the Program Committee; and manages implementation of regional projects and/or supports project task forces, including those producing preparedness plans for the region.

The RDPO Manager and Planning Coordinator both support the GAA/POC’s staff, as indicated in point G. above.

III. RDPO Regional Strategy and Program Development/Projects Pipeline

The RDPO Steering Committee is responsible for charting the direction of the RDPO and conducts a program review and strategic direction-setting process every three to five years. Subject matter experts and partner jurisdictions and agencies at all levels of the organization contribute to this process. The RDPO Manager is charged with designing and facilitating the process, as well as writing the plan.

The SC develops regional strategic goals and objectives in coordination with the PC and PrC and bases them on a synthesis of multi-source data, including from an external trends scan, an assessment of organizational and program challenges, opportunities, and gaps, and identified maintenance needs across the core capabilities in the RDPO’s five mission areas: Prevention, Protection, Mitigation, Response and Recovery. To generate the data, the RDPO reviews past project results, its annual Threat and Hazard Identification and Risk Assessment (THIRA), exercise after-action reports, state and national preparedness reports, FEMA Region X and state THIRAs, post-disaster case studies, and other research.

The RDPO Strategic Plan/PUAHSS guides the annual program development process, known as the RDPO Projects Pipeline, which serves as the source of project investments utilizing UASI and RDPO Local Contributed Funds. The steps of the Program Development/Projects Pipeline process include:

- **Call for Projects and Issuing Project Development Guidance:** each fall (circa September), the RDPO Steering Committee (SC) calls for projects to fill the RDPO Projects Pipeline. PBEM Finance and Grants circulates to the Discipline Work Groups (DWGs), task forces (TFs) and the Program Committee (PrC) the SC's program development guidance, outlining year-over-year changes to the process, project criteria, and priorities (if any), along with project concept forms, inclusive of a self-scored project criteria checklist.
- **Review/Update Current Pre-Approved Projects Pipeline:** with the Steering Committee's program guidance in hand, the Program Committee, together with the Discipline Work Groups and Task Forces, reviews the pre-approved projects in the pipeline from past programming years to ensure they are still relevant and an investment priority. The project concepts and budgets are updated as needed.
- **Develop and Submit New Project Concepts:** from September to November, the PrC, DWGs and TFs develop and submit projects in alignment with the Steering Committee's project development guidance. These groups ensure that each project has a project manager and that project concepts are prioritized as a set before being submitted to the Program Committee for review. They include any pre-approved Pipeline projects in their prioritized projects package. Each DWG and TF must approve all projects submitted to the Pipeline by a simple majority. All TFs and DWG standing committees must submit their project proposals for approval to their parent DWG or Committee, which is then responsible for submission to PBEM Finance and Grants by the deadline.
- **Vet, Prioritize and Pre-Approve Projects (i.e., Pre-Award):** Usually between November and December, the PrC conducts the first review of the entire set of projects submitted using the SC's project guidance and project criteria score sheets. Using a simple majority voting process, the PrC votes on a package of projects and an order of prioritization, then submits that to the SC. From January to February, the PrC, along with project managers and other subject matter experts, presents the prioritized project package to the SC for review, amendment, if needed, and approval. The SC may make some adjustments to the proposed projects package (e.g., scale back some projects; change priority order of others) before approving a final pre-award Projects Pipeline.

IV. Funding Methodology

A. Overview

The RDPO has two main funding streams: UASI grant awards and RDPO Local Contributed Funds (LCF). The annual UASI grant award cycle in the spring drives the allocation of the bulk of these funds to projects in the RDPO Projects Pipeline. Funds not allocated at the time PBEM prepares and submits the UASI application remain in contingency until needed for project amendments, to cover funding gaps of projects with unforeseen additional needs, or for pooled funding reallocations to one or more projects in the Projects Pipeline, usually during the last year of the UASI grant cycle.

UASI grant funds are awarded by the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) on an annual basis. RDPO Local Contributed Funds

(LCF) are donated by partner local governments on an annual basis per the annual Local Cost Share Method (LCSM) and follow the same award processes and requirements as UASI funds.

UASI project awards are made by FEMA based on applications consisting of investment justifications submitted by the PUA. Each investment justification represents one or more related projects. RDPO LCF project awards are made by the RDPO Steering Committee through the same process as the UASI-funded project awards. The Steering Committee decides which projects to include in the investment justification package and which projects to fund with RDPO LCF through a simple majority voting process of eligible voting members.

All projects funded through UASI or RDPO LCF must align with the RDPO Strategic Plan/PUAHSS and the purpose and specific requirements of the UASI grant program. All UASI/RDPO grant sub-recipients are bound by contracts or intergovernmental agreements (IGAs) that require compliance with all grant terms and conditions. Awarded grant funds are managed by the RDPO/UAWG consistent with investment justifications and grant guidelines.

B. Guiding Principles

- All DWGs, TFs and standing committees have equal access and opportunity to seek UASI/RDPO grant funding.
- All jurisdictions that seek funding through the UASI grant program must be National Incident Management System (NIMS) compliant.
- Projects must align with the RDPO Strategic Plan/PUAHSS and other guidance, as provided by the Steering Committee.
- Jurisdictions purchasing a capital asset⁷ with UASI Grant or RDPO LCF are, in effect, purchasing it for the region and shall 1) maintain it to its expected end of life; 2) capitalize the asset in their accounting system to eventually replace it; and 3) provide the asset to partners in the region to utilize, when available. (Note: FEMA or other recipients of HSGP funds may also request the use of the RDPO's UASI-funded assets for incident response outside the region).
- Projects that provide multi-jurisdictional or multi-disciplinary benefit are given preference over single agency or single jurisdiction requests.
- Whenever possible, projects should provide regional benefit by reducing risk, developing/supporting regional plans or developing/enhancing regional capabilities.
- As the UASI administrative agency, all questions to state or federal government partners about the eligibility of grant-funded projects or items shall be coordinated by PBEM.

⁷ “Capital assets” means tangible or intangible assets used in operations having a useful life of more than one year which are capitalized in accordance with generally accepted accounting principles. Capital assets include: (a) Land, buildings (facilities), equipment, and intellectual property (including software) whether acquired by purchase, construction, manufacture, lease-purchase, exchange, or through capital leases; and (b) Additions, improvements, modifications, replacements, rearrangements, reinstallations, renovations or alterations to capital assets that materially increase their value or useful life (not ordinary repairs and maintenance).

- All projects are subject to FEMA's Environmental Planning and Historic Preservation (EHP) review. No funds will be allocated to or expended on a project until the required EHP review has been completed and approved.

C. RDPO Funding Allocation/Grant Cycle

Figure 3 below illustrates the steps in the allocation of UASI grant and RDPO Local Contributed funds to approved projects in the RDPO Projects Pipeline, from the point where the PUA receives notification of a UASI award (usually in the late spring) to the end of the grant cycle (about three years later), when all projects funded with the UASI grant award and RDPO Local Contributed Funds designated for the cycle have been implemented. Note: the GAA/POC, with the approval of the RDPO Steering Committee, may elect to retain a portion of funds available for award in contingency in case of project overruns or unforeseen expenses.

Figure 3: The RDPO UASI Grant Award and Local Contributed Funds Allocation and Program Implementation Process



D. RDPO Local Cost Share Method and Use of Contributed Funds

The RDPO welcomes the financial contributions of its members to help advance its strategic priorities and fund its work plan, as well as to sustain its operations and administration. The organization also relies on and appreciates the in-kind donations (i.e., of agency staff time and

technical skills) and other resources that contribute to building and maintaining regional capabilities.

Section VIII.C of the RDPO Intergovernmental Agreement requires the Policy Committee to establish the contribution levels for a member organization to become a “Contributing Member” and have full voting rights. It also requires the Committee to identify the RDPO’s core operating and administration costs and establish the method for allocating those costs amongst a core group of Participating Jurisdictions.

Each year the Policy Committee approves an annual administration and operating budget for the RDPO and Local Cost Share Method (LSCM), to assist the Policy Committee in addressing both these needs. It also provides guidance for:

- Member organizations that would like to contribute to the RDPO but are not able or willing to meet the established levels, or who have no desire to become a Contributing Member with full voting rights; and
- Member organizations that would like to contribute to the RDPO’s priority projects in its work plan.

Figure 4, below, outlines the main steps in the process of securing the RDPO Local Contributed Funds (LCF).

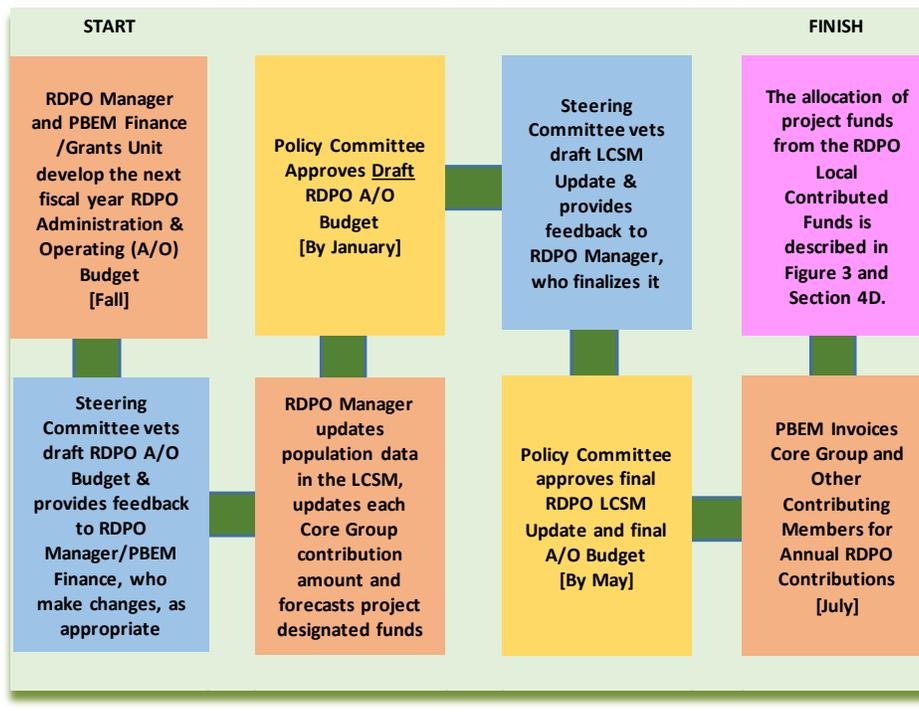


Figure 4: The RDPO Administrative and Operating Budget and Local Cost Share Method Update Process

E. Project Amendments

During project implementation, a project manager/DWG/TF may encounter a need to amend the original project scope and/or the project budget to move funds from one line to another in

a project budget (i.e., no cost amendment) or to request additional funds to complete the project in question. PBEM processes no cost amendment requests on a rolling basis and amendments requesting additional funds when sufficient UASI and/or RDPO LCF are available. The table below illustrates the RDPO committees authorized to approve amendments and the dollar levels assigned to each.

Funding Reallocation Approval Matrix

≤ \$5,000	\$5,001 - \$20,000	>\$20,000
The GAA, in coordination with the RDPO Manager	The Program Committee	The Steering Committee

The following section contains the three core types of project amendments and associated steps:

1) No Cost Budget Revision/No Change in Project Scope⁸

- The project manager identifies budget shortfalls and overages and prepares an amendment form to request administrative movement of funds from one budget line to another based on project needs;
- The project manager obtains DWG/TF or assigned committee approval, then submits the completed form to the GAA by email;
- The GAA, in coordination with the RDPO Manager, reviews the amendment and obtains further clarification from the project manager, as needed. The GAA may make further adjustments to the proposed amendment;
- The GAA submits the amendment to the SAA for approval;
- Once the SAA approves the amendment, the GAA provides final approval to the Project Manager and DWG/TF and informs the Program and Steering Committees.

2) Additional Funds Request/No Change in Project Scope

- The project manager identifies budget shortfalls and other budget line change requirements and prepares an amendment form to request additional funds and to make other budget revisions, as needed;
- The project manager obtains DWG/TF approval, then submits the completed form to the GAA by email;

⁸ Minor changes in scope, such as “more planning steps, fewer training events” or a new approach to achieving the intended project outcomes are acceptable.

- Depending upon the amount of additional funding requested, the GAA then acts per the following table, which incorporates the Funding Reallocation Matrix and steps in the reallocation per authority level.

≤ \$5,000	\$5,001 - \$25,000	> \$25,000
<ul style="list-style-type: none"> ➤ The GAA reviews the request together with the RDPO Manager, and if no issues, approves it. 	<ul style="list-style-type: none"> ➤ The GAA reviews the request and, if no issues, submits it to the Program Committee (PrC); ➤ The PrC considers the request and either approves, disapproves or returns it to the DWG/TF for more information or changes (DWG revises and re-submits to GAA, who reviews and submits again to PrC for approval) ➤ If the request is ≥ \$20,000, GAA submits the PrC-approved project amendment to the SAA for approval. 	<ul style="list-style-type: none"> ➤ The GAA reviews the request and, if no issues, submits it to the PrC; ➤ The PrC considers the request and recommends its approval to the Steering Committee (SC) considers the request and either approves, disapproves or returns it to the DWG/TF for more information or changes (DWG revises and re-submits to GAA, who reviews and submits again to SC approval) ➤ GAA submits the SC-approved project amendment to the SAA for approval.

For all amendment funding levels:

- Once the SAA approves the amendment, the GAA provides final approval to the PM/DWG/TF and informs the Program and Steering Committees.

3) Major Change in Project Scope/with or without Budget Change

On rare occasion, a project manager, DWG/TF, the PrC or SC determines that a project is not meeting the intended strategic objectives and requires a major change in scope, with either a no cost or cost amended budget. The following steps guide these requests:

- The project manager revises the project scope and budget, as needed, and completes an amendment form;

- The project manager obtains DWG/TF approval, then submits the amended project and amendment forms to the GAA by email;
- The GAA vets the revised project narrative and budget to ensure funding eligibility, budget accuracy, and compliance with city, state and federal requirements.
- The GAA then acts per the following table, which incorporates the Funding Reallocation Matrix and steps in the reallocation per authority level.

\$0 - \$25,000	> \$25,000
<ul style="list-style-type: none"> ➤ The GAA submits the project revision documentation to the PrC ➤ The PrC reviews and approves (may return to DWG for changes before giving final approval) ➤ If the request is \geq \$25,000, GAA submits the PrC-approved project revision to the SAA for approval 	<ul style="list-style-type: none"> ➤ The GAA submits the project revision to the PrC ➤ The PrC considers the request and recommends its approval to the SC ➤ SC acts on the request (may return to DWG for changes before giving final approval) ➤ GAA submits the SC-approved project revision to the SAA for approval.

F. Pooled Funding Reallocations

Periodically, PBEM will inform the RDPO that a pool of funds (i.e., maintained in contingency and/or generated through project amendments) is available for reallocation to one or more projects in the RDPO Projects Pipeline. The Steering Committee will review the Pipeline and decide which projects to fund with pooled reallocation dollars, taking into consideration project priorities, funds available, grant implementation deadline, etc. The SC may ask the PrC for advice before making a final decision.

If the amount of funding for reallocation is not sufficient to support any of the existing projects in the Pipeline, the Steering Committee may initiate an emergency call for projects, utilizing appropriate steps in the allocation process (illustrated in Figure 3, page 10) to identify and fund projects with reallocation dollars.

[Signature page follows.]

Approved by the Policy Committee: October 13, 2017

Date

Jeanne Stewart
Policy Committee Chair Name

Signature