

Public Assistance (PA) Division Risk Based Framework

Performance Work Statement (PWS)

AMENDED 02/14/2024

Background

In 2022, FEMA completed an assessment of the Public Assistance Delivery model. One finding was that FEMA's Public Assistance program lacks a risk management framework to govern implementation including a consistent definition of risk and how risk should be managed across regions, CRCs, and HQ, particularly among small and large projects. Without this risk management framework, the PA program has adopted a one-size-fits-all approach that results in a less scalable and overly complex PA Program.

Adopting a risk management framework is consistent with on-going efforts to simplify Public Assistance and to facilitate the change management and continuous improvement needs identified by the Assessment. In 2023, the Public Assistance Division has undertaken steps to act on this finding through the delivery of training on risk management principles and their application within the PA Program. These steps provided an initial program foundation and demonstrated a need for a Risk Management Framework for PA that includes how PA defines risk and strategies for prioritizing delivering assistance while balancing program risk and technical compliance. This analysis and Risk Framework could contribute to the development of a risk management policy for PA.

This Performance Work Statement (PWS) is to initiate a Call Order (CO) from the Continuous Improvement Program (CIP) Disaster Support Blanket Purchase Agreement (BPA) to support Federal Emergency Management Agency (FEMA) program assessment and improvement efforts,

Purpose

The purpose of this Risk Management Framework is to outline a process for creating institutional change that will lead to the implementation of Public Assistance program delivery using a risk-based approach. This Framework will include the strategies and tactics to implement this Risk Management Program in a way that incentivizes simplicity, timeliness, and efficiency, while also considering the necessary change management and continuous improvement needs of the program.

This call order is requesting support on the following lines of effort:

- 1) Develop Risk-Based Framework
- 2) Stakeholder Engagement and Analysis

As of August 2023, the PA Division has conducted engagement through interactive training and a focus group to inform Framework development and initiated engagement with PA Stakeholders including state and local customers through interviews to understand how they perceived, experience, and manage risk within the PA program.

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Objectives

The objectives for this Call Order are to:

1. **Identify opportunities and potential challenges while assessing Risk within the PA Program.** The contractor shall bring forward creative and actionable opportunities to implement risk-based decision making in the PA Program and how to integrate risk management principles into processes, roles, and responsibilities between Joint Field Offices (JFO), Consolidated Resource Centers (CRCs), Headquarters, and Regions through the development of a risk-based framework.
2. **Engage the PA Enterprise.** The contractor shall engage Public Assistance stakeholders across FEMA organizations (including Headquarters, Regional offices, CRCs, and field offices) and external organizations (including state, local, tribal, territorial, and private non-profit entities). The contractor shall design highly participative engagements to generate meaningful feedback that can inform framework development and change management plan.
3. **Facilitate Organizational Change.** The contractor shall develop a risk-based framework that facilitates organizational change. This strategy should consider behavior modification and change management strategies, communications, business process reengineering and effective leadership models.

Tasks

The contractor shall provide necessary services to develop the framework, support facilitation of stakeholder engagement, and make summary briefing on actions, to include recommended follow-on actions and tactics. The contractor shall provide the services necessary to collect information, conduct interviews, analyze inputs from various sources, validate findings, and develop formal reports. Products to be developed include, but are not limited to, risk management framework, case studies, and executive briefings and associated products (e.g., one-pagers, presentations, etc.).

The contractor will be part of a team and will serve in a variety of roles including leading tasks; supporting tasks; providing expertise and insight; coordinating, conducting, and supporting interviews; working as part of interdisciplinary teams; conducting analysis; writing drafts of reports and other products; and conducting independent tasks as directed by the customer.

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The contractor shall perform the following non-severable tasks in coordination with and under the direction of the Government:

Task 1: Program Management

- After the Call Order is executed:
 - **Deliverable:** Attend a kickoff meeting within forty-eight (48) hours. The contractor shall provide minutes from kick-off meeting.
 - Make contract staff available to the PA Assessment Task Force as quickly as possible to support on-going activities.
- **Deliverable:** Initiate, execute, and maintain the appropriate project management products, processes, and systems to complete this task and deliverables to include a Project Management Plan.
- Maintain a project management team that can conduct routine, on-going communications with Internal and External Stakeholders and Government Project Management Team for the duration of the project. This will include participation in regularly scheduled meetings (in person; MS Teams or Zoom; and telephone) to provide updates on the work; discuss issues and steps to resolve issues; and other matters that might arise during the period of performance. Skillsets and working experience for members of the entire contractor project team should include:
 - Experience with FEMA Public Assistance program
 - Research/literature review and writing skills to develop best practices.
 - Facilitation of stakeholder engagement
 - Creation of stakeholder input matrix to analyze input.
 - Writing and development of program recommendations (to include policy, legislative, and regulatory)
- **Deliverable:** Develop a Quality Control Plan (QCP) that includes a self-inspection plan for documents, deliverables and processes, an internal staffing plan, and an outline of the procedures the contractor shall use to maintain quality, timelines, and responsiveness for this Call Order and deliverables.
- Attend weekly meetings with the Government Project Management Team, as well as defined team members, meeting frequency can be adjusted by the project Government Project Management Team-based on needs of program. Contractors to allow flexibility to adapt throughout the project.

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- **Deliverable:** Conduct weekly project management check-ins with the Government Project Management Team, or designees, and COR to review the status of activities and work with the contract support to align the contract team to these activities. Each review will provide insight for this Call Order into project accomplishments, upcoming milestones, and potential risks. The project management check-ins should identify potential problems and risks while also outlining alternate or recommended solutions. This deliverable will include monthly written briefs that will serve as the written status deliverable for this engagement.
- Maintain the Plan of Action and Milestones (POAM) document which shows the assignment of Team members and defines operational tempo of the organization. Initial Guidance is that the leads contractor will report progress to the Government Project Management Team weekly.

Task 2.1: Assess Risk and Build Foundation of the Risk-Based Framework

- The contractor will take the information gathered during the risk interviews, training, workshops, and the PA risk management focus group and use that information to develop draft definitions of risk by stakeholder and a risk-based architecture to support implementation of the risk framework. This will include analysis of the Delivery Model to identify stakeholders and the unique risks they face.
 - Develop a working definition of risk for PA through the conduct of:
 - 5-7 interviews with senior PA people as identified by PA Program Customer
 - Interviewer and note taker.
 - Smart sheets/one note for analysis
 - **Deliverable:** Contractor develops a working “Definition of risk for PA”
 - Develop Interview protocol and 6-7 group interviews with a maximum of 50 individuals holding the position in the 38 Delivery Model Positions. The purpose of these calls is to discuss how the “new definition” applies to each of the 38 positions.
 - Interviewer and note taker.
 - Smart sheets/One note for analysis
 - Review roles of all 38 positions and 12 PA Position Task Books
 - Conduct analysis

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- **Deliverable:** DRAFT Matrix of risk by stakeholder at each phase of the National Delivery Model. To include a description of the risks each stakeholder faces as well as the identification of acceptable risk and consideration of how different stakeholders' risk tolerance impacts others. This will be completed for the 38 positions identified in the PA Program Delivery Guide.
- **Deliverable:** Identify and create a summary of existing strategies that impact PA's approach to risk management, their position in the model, and how they integrate or impact the risk-based approach.
 - Review and evaluate existing guidance/strategies that impact approach.
 - Conduct analysis and develop notes to support summary.
- **Deliverable:** Conduct Market Research on how Other Federal Agency (OFA) partners address risk and risk tolerance relative to gain a better understanding of best practices to facilitate and support the development of a risk-based framework.
 - Via research or Interviews with partner agencies
 - Up to 10 agencies/organizations
 - Develop Interview Protocol
 - Engage interviewer and note taker.
 - Smart sheets/one note for analysis

Task 2.2: Develop Risk Framework for PA

- The PA Assessment Report (2022) stated that the PA Program lacked a risk management framework for PA project delivery. The purpose of this task is to develop the framework that focuses on the operational aspects of how risk, risk tolerance and risk management applies to the National Delivery Model.
- The framework will include:
 - Goal and objectives for having a risk management framework for PA.
 - Definitions of risk, risk tolerability, risk attitude, risk management
 - A draft risk management process including how the PA program systematically applies risk management policies procedures and practices to the activities of communicating, establishing context and identifying, analyzing, evaluating, treating, monitoring, and reviewing risk in PA project decision making and delivery.

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- A description of the internal context for risk management within PA which includes governance, organizational structure, roles and accountabilities and the objectives and strategies that should be in place to achieve them. It will include capabilities, resources, and knowledge such as capital time, people, processes, systems, technologies, and relationships with stakeholders that recognizes the communication and cultural needs for implementation.
 - **Deliverable:** Risk Management Framework for PA project decision making and program delivery, including communication and socialization plan.
 - **Final 38 position matrix**
 - **Deliverable:** High-level conceptual description of a risk-based architecture to support implementation of a FEMA PA framework to include potential roles and responsibilities, placement in the PA organizational structure, process improvement, systems designed to push risk management to the edge of the enterprise.
 - Conduct PA Partners meeting to review architecture.
 - 2 facilitators, 3 PA experts and 2 note takers
 - smart sheets/one note for analysis

Task 3: Stakeholder Engagement and Analysis

- The contractor shall support FEMA PA in both its internal and external stakeholder engagement for all aspects of the change management effort. This may include providing facilitators and moderators to assist in this process and the development of communications.
 - Stakeholder engagement plan
 - Communications Plan (For Phase 1)
- **Deliverable:** Summary of Analysis, Notes

Task 3.1: Round Tables with PA Partners

- Work with FEMA PA to identify a small group of trusted agents representing stakeholders at each phase of the National Delivery Model, including HQ, regional leadership, field personnel, and closeout.
 - Engage with this group first to use as a sounding board on the elements of the risk framework strawman described above.
 - Time commitment: One day round table Location: Washington, DC
 - Quarterly Zoom meetings
 - Level of support: 3 Contractor staff. 2 to support facilitation, 1 Risk SME One notetaker.

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Deliverable: Concept for how the PA partners will contribute to the process – report

- Quarterly meeting (2 Physical with the Rest Virtually Held)
- Invitations
- Agenda and facilitation Plan
- Notes

A second focus group and a scenario-based policy discussion will form part of later phased-efforts:

Task 3.2: 2nd PA Risk Management Focus Group

- Re-engage with FEMA PA focus group.
 - Present and discuss the risk framework possibilities.
 - One-Two day facilitated discussion, in-person.
 - Focus on assumptions, definitions and process issues.
 - Time commitment: Up to two travel days and two full working days
 - Location: Washington, DC
 - Level of support: 3 Contractor staff. 2 to support facilitation, 1 Risk SME.
 - **Deliverable:** Notes

Performance Requirements Summary / Deliverables

Outlines the main milestones as established in this Call Order with estimated dates of execution and completion.

Deliverable	Method of Inspection and Acceptance	Due Date and Method of Delivery (estimated)	Submit To:
Kick Off Meeting – The Contractor shall meet with the FEMA Representatives and the COR within forty-eight (48) hours of call order award. The Contractor shall provide a kick-off meeting report listing attendees, a summary of items discussed and actionable items resulting from the meeting.	Review by FEMA – COR and Project Management Team will review products for completeness & accuracy.	Email kick-off meeting report electronically no later than five (5) business days after kick-off meeting	Government Project Management Team, COR, and designated FEMA Subject Matter Experts (SMEs)
Quality Control Plan - At a minimum,	Review by FEMA – COR and Project Management	The Quality Control Plan (QCP) to the	Government Project Management

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the QCP must include a self-inspection plan for documents, deliverables and processes, an internal staffing plan, and an outline of the procedures the contractor shall use to maintain quality, timelines, and responsiveness for this Call Order and deliverables.	Team will review products for completeness & accuracy.	government within 10 days after the kickoff meeting.	Team, COR, and designated FEMA Subject Matter Experts (SMEs)
Huddle Participation – Participate on regular briefings, planned for daily, but no less frequently than weekly on current day operations and provide brief verbal update on current workload progress and anticipated issues. Meetings occur only on weekdays excluding federal holidays.	Review by FEMA – COR and Project Management Team will review products for completeness & accuracy.	Timely submission and government acceptance.	Government Project Management Team, COR, and designated FEMA Subject Matter Experts (SMEs)
Weekly Status Reports - Conduct weekly scheduled progress reviews and develop reports to assess the status of activities and progress against POAM. Each review shall provide insight for this Call Order into past and projected expenditures, staffing levels, project accomplishments, upcoming milestones, and potential risks. The briefs should identify potential problems and risks while also outlining alternate or recommended solutions.	Review by FEMA – COR and Project Management Team will review products for completeness & accuracy.	Timely submission and government acceptance.	Government Project Management Team, COR, and designated FEMA Subject Matter Experts (SMEs)
Stakeholder Risk Matrix - The Stakeholder Engagement effort will result in a matrix which identifies stakeholders identified risks, management strategies, and relationship to	Review by FEMA – COR and Project Management Team will review products for	Timely submission and government acceptance.	Government Project Management Team, COR, and designated

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each other, and relative level of risk tolerance.	completeness & accuracy.		FEMA Subject Matter Experts (SMEs)
Risk Based Architecture - Description of a risk-based architecture to support implementation of a FEMA PA framework to include potential roles and responsibilities, placement in the PA organizational structure, how to push risk management to the edge of the enterprise.	Review by FEMA – COR and Project Management Team will review products for completeness & accuracy.	Timely submission and government acceptance.	Government Project Management Team, COR, and designated FEMA Subject Matter Experts (SMEs)
Stakeholder Analysis and Notes - Work with FEMA PA to identify a small group of trusted agents representing stakeholder at each phase of the National Delivery Model, including HQ, regional leadership, field personnel, and closeout. Engage with this group first to use as a sounding board on the elements of the risk framework strawman described above. One-day facilitated discussion, in-person @ FEMA	Review by FEMA – COR and Project Management Team will review products for completeness & accuracy.	Timely submission and government acceptance.	Government Project Management Team, COR, and designated FEMA Subject Matter Experts (SMEs)
Communications Plan – Describes internal and external communications processes and products, and methods for team coordination.	Review by FEMA – COR and Project Management Team will review products for completeness & accuracy.	Timely submission and government acceptance.	Government Project Management Team, COR, and designated FEMA Subject Matter Experts (SMEs)

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Period and Place of Performance

March 01, 2024, through November 30, 2024 (tentative)

The Period of Performance for this Call Order is nine (9) months from date of award. This Call Order has one (1) 9-month base period and one (1) 12-month option period.

The contractors will attend all meetings and conduct communication efforts virtually and perform their assigned tasks remotely from their Residence of Record (ROR) or contractor's corporate office. Travel reimbursement will only be authorized for travel to two Stakeholder Roundtables, and 2nd PA Risk Management Focus Group.

Costs for transportation, lodging, meals, and incidental expenses incurred by Contractor personnel on official company business, in support of this Call Order, are allowable subject to FAR 31.205-46, Travel Costs. Travel costs will be considered reasonable and allowable only to the extent that they conform to FEMA's Travel Policy Manual 122-1-1, which supersedes the previous FEMA Travel Manual 6200.1 from May 1989.

Staffing

The following labor categories, number of people in each labor category, location of the work, and estimated level of effort is provided. In developing the staffing and estimated level of effort, the following assumptions were made.

- For the period of performance, it is assumed that all positions will work intermittently part-time.
- Limited staff will participate in the kickoff meeting.

The following staff members will be considered Key Personnel for the purposes of this Call Order: Call Order Project Manager, Stakeholder Engagement Lead, Data Analysis Lead, Change Management Lead, and Senior SME.

Government issues laptops and equipment will be furnished to key personnel.

There will be no adjustment in rate for staff once agreed upon in the execution of this call order.

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All applicable BPA clauses for Privacy, Security, Government issued laptops and equipment, 508 compliance and overall contract requirements are incorporated into this call order.

Role / Labor Category	Task Assignment	Total LCAT Hours (each)	# of Staff
Senior Program Manager - Contr	Program Management	500	1
Senior Program Manager - Contr	Change Management Lead	400	1
Senior Analyst - Contr	Risk SME	400	1
Senior Analyst - Contr	PA SME	400	1
Senior Subject Matter Expert - Contr	Facilitator	250	2