



Office for Domestic Preparedness

Urban Area Security Initiative (UASI) Program

UASI Technical Assistance (TA) Workshop



Urban Area Strategy Technical Assistance (TA) Workshop

Urban Area Security Initiative Program

Module 1

Introduction and Overview

❖ Terminal Objective

- **The Urban Area Strategy Technical Assistance (TA) Workshop is designed to provide an introduction and overview of the process used to develop the UA strategy**

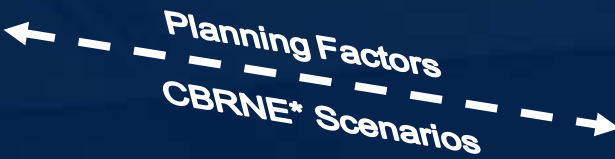
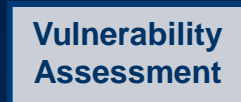
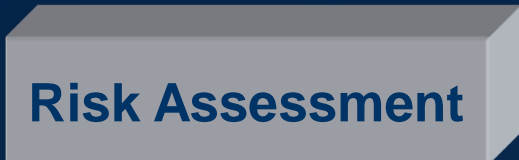
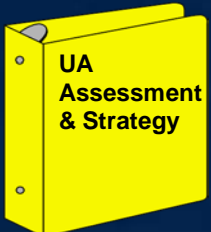
❖ Enabling Objectives

- Review the process by which the UA received, analyzed, and processed UA Jurisdictional assessment Information
- Review the process the UA will use to Prioritize UA Jurisdictions
- Establish the UA vision, focus and compose the UA Strategy

❖ TA Objectives (cont.)

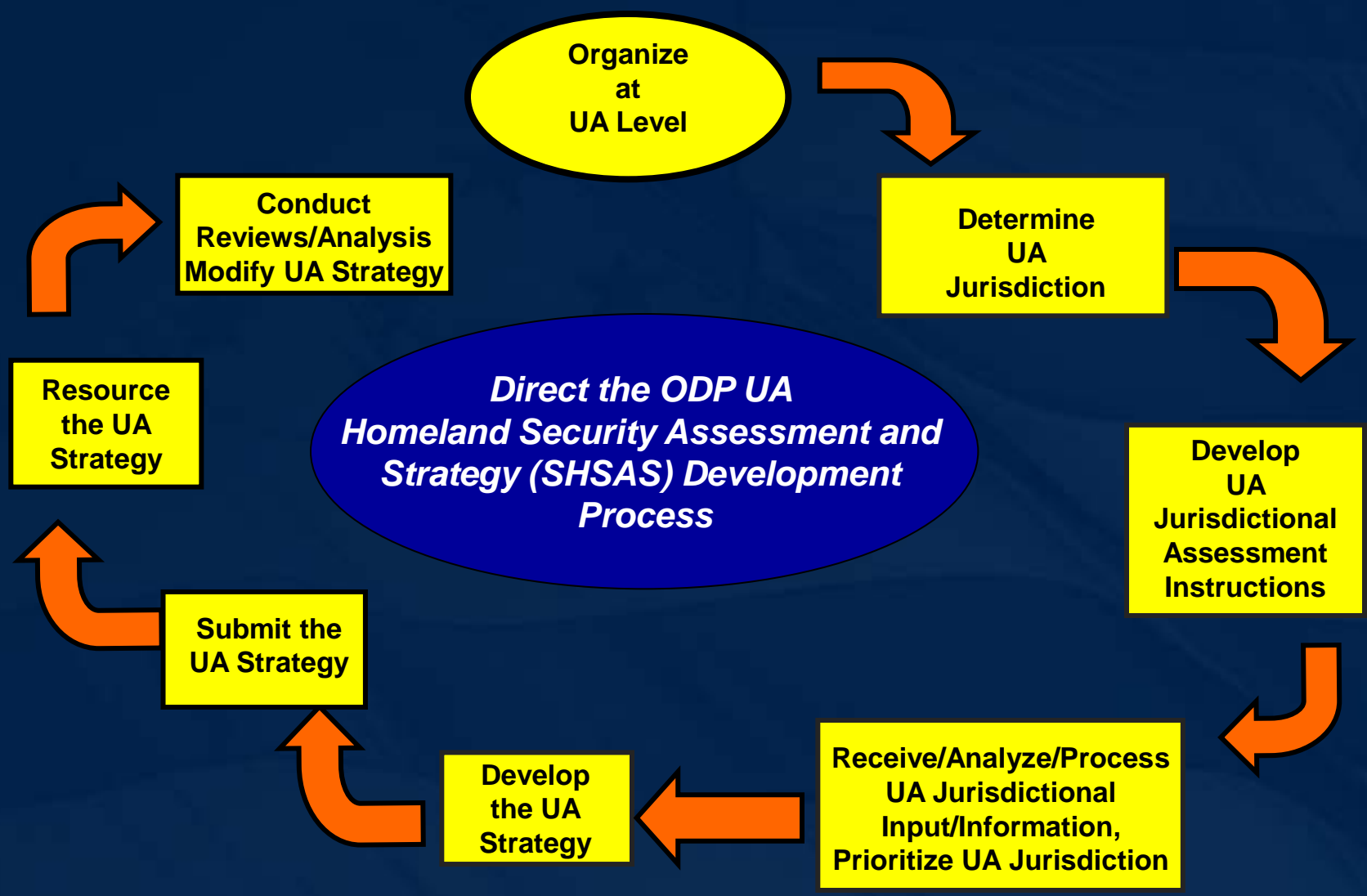
- Review the process to submit the UA Strategy
- Determine methods available to resource the UA Strategy
- Establish a process to conduct Review/Analysis of the UA Strategy

Introduction and Overview



Shortfalls or "Gaps"







❖ What assessment guidelines were identified?

- Did the UA POC identify any specific factors for consideration and/or modification to the ODP Assessment and Strategy Program Handbook

❖ What critical issues were addressed?

- Critical tasks
- Target dates
- Detailed steps for UA Jurisdiction assessments:
 - Use of the Assessment and Strategy Program Handbook
 - Did you supplement the handbook with an altered format?



- ❖ **What was your Jurisdiction participation?**
 - How many jurisdictions were defined?
 - How many defined jurisdictions participated?

Discussion



Urban Area Strategy Technical Assistance (TA) Workshop

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Module 2

Receive, Analyze, and Process UA Jurisdiction Information

❖ Terminal Objective

- **At the conclusion of this module, participants will be able to review, analyze, and process UA Jurisdictions assessments and develop a method to prioritize all participating UA Jurisdictions for the UA Strategy.**

❖ Enabling Objectives

- Review/Analyze/Process risk assessments submitted by participating UA Jurisdictions
- Review/Analyze/Process capabilities assessments submitted by participating UA Jurisdictions
- Review/Analyze/Process needs assessments submitted by participating UA Jurisdictions
- Review/Analyze/Process all recommendations received from participating UA Jurisdictions

Review Risk Assessments

- ❖ What do (did) you look for in the UA Jurisdiction Risk Assessment Profile?
 - Threat
 - Vulnerability
- ❖ Discuss some of the problems or concerns you had with the submitted assessments

Key areas of the Threat Assessment?

- **UA Jurisdiction**
- **Threat Rating**
- **Number of PTE**
- **Number of WMD**
- **WMD Capabilities**
- **Motivations**
- **Incidents:**
 - Threats and/or Incidents
 - Threats Determined to be Criminal

Key areas in the Vulnerability Assessment?

- ❖ UA Jurisdiction Vulnerability Rating
- ❖ Legal CBRNE Hazardous Environment
 - Total
 - Types
 - Other

❖ Key areas in the Needs Assessment?

- Planning
- Organization
- Equipment
- Training
- Exercises

❖ Key areas in the Emergency Response Teams

- Team coverage for the UA Jurisdiction
- Mutual aid coverage
- UA level resources

Key areas in mutual aid support

- ❖ Will this be a part of your UA strategic focus?
- ❖ Will this assist you with prioritization?
- ❖ The current assessment tool collects mutual aid received and provided by each UA Jurisdiction

❖ UA Recommendations

- Improvements of emergency responder capabilities
- Areas that can cause impediments at the UA and local level.
- Recommendations will assist UA and federal equipment, training, and support programs

Discussion



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Module 3

Prioritize UA Jurisdictions

❖ Terminal Objective

- **At the conclusion of this module, participants will be able to develop a method to prioritize all participating UA Jurisdictions for the UA Strategy.**

❖ Enabling Objectives

- Determine evaluation factors that will be used to evaluate a UA Jurisdiction
- Determine weighting given to each selected evaluation factor
- Prepare an UA Jurisdiction prioritization matrix
 - Customized factors for unique jurisdictions
- Conduct scenarios for UA Jurisdiction prioritization, if desired
- Prioritize UA Jurisdictions

Prioritize Participating UA Jurisdiction

- ❖ There are many methods, including this one, to utilize for prioritizing your UA Jurisdictions
- ❖ It will be up to your UA POC as to which method is used
- ❖ ODP has developed an automated process for your use, if you desire



Determine prioritization factors

- ❖ Your vision will dictate how this will be accomplished
- ❖ What are the factors you deem appropriate to use in prioritizing your UA Jurisdiction?

Prioritize UA Jurisdiction

What factors have you thought about?

- ❖ Risk Assessment
- ❖ Needs Assessment
- ❖ Percentage of Fill for Capabilities/Needs
- ❖ Mutual Aid Provided/Received
- ❖ Population
- ❖ HazMat coverage
- ❖ All Assessment Factors
- ❖ Other

Custom Prioritization Factors

- ❖ Gives the UA the option to determine additional factors that are critical to the particular UA.

Determine Weighting of Factors

- ❖ Have you placed more importance on one group of assessment factors than others?
- ❖ This will determine what weight you will give each factor.
- ❖ The weight placed on one factor versus the other would differ by your level of concern for each



Prepare a UA Jurisdiction Prioritization Matrix

- ❖ Enter several scenarios by utilizing the prioritization tool to determine the ranking of participating UA Jurisdiction

Review the prioritization results

- ❖ Has coverage been provided to your UA?
- ❖ Your UA may wish to make adjustments
 - What factors if any will you adjust?
 - What weight values for each of your selected factors will be adjusted?
- ❖ Once adjustments are made re-compute



Prioritize UA Jurisdiction

- ❖ Record the final prioritization for the DHS/ODP submission. (Annex B)

Prioritize UA Jurisdiction

Discussion



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Module 4

Develop the UA Strategy

❖ Terminal Objective

- **At the conclusion of this module, participants will be able to develop the UA Strategy.**

❖ Enabling Objectives

- Define the purpose of the UA vision
- Describe the focus of the UA strategy
- Describe the coordination efforts needed to develop the UA strategy
- Define the UA Jurisdictions and the guidance provided to each for completion of the assessment

❖ Enabling Objectives, con't.

- Define the UA risk profile**
- Define the UA current capabilities and its needs profile for each solution area**
- Develop goals, objectives, and implementation plans for the UA strategy**
- Develop a comprehensive evaluation plan for the UA strategy**

Section I: Introduction

REFERENCE:

UA Handbook
page 4

- ❖ Purpose
- ❖ State the vision for the UA strategy
- ❖ Define the focus for the UA strategy
- ❖ Coordination
 - Describe the process used to complete the strategy including the decision making authority
 - Describe the efforts to ensure strategy coordination and development among emergency response agencies
- ❖ Description of UA Jurisdictions
- ❖ Process used to complete the UA Jurisdiction assessments
 - Instructions to UA Jurisdictions

Designate which disciplines participated in development of the strategy

- Law Enforcement (LE)
- Emergency Medical Services (EMS)
- Emergency Management (EMA)
- Fire Services (FS)
- Hazardous Materials (HZ)
- Public Works (PW)
- Governmental Administrative (GA)
- Public Safety Communications (PSC)
- Health Care (HC)
- Public Health (PH)
- Federal Agencies (FBI, FEMA, EPA, etc.)
- UA Agencies
- Others



Section II: UA Risk Profile

- ❖ Number of UA Jurisdictions
- ❖ Number of UA Jurisdictions that participated
- ❖ Total population of the UA
- ❖ Threats (low, moderate, high)
- ❖ Vulnerability
- ❖ Agricultural Vulnerability
- ❖ UA Jurisdiction Prioritization

Section III: UA Capabilities and Needs Profile

❖ Plans

- List the total percentage of UA Jurisdictions with both an EOP and TIA

❖ Organizations

- Number of emergency response teams in the UA and number of those teams that provide/receive mutual aid

❖ Equipment

❖ Training

❖ Exercises

REFERENCE:

UA Handbook
page 13



Section IV: Goals, Objectives, Implementation Steps

REFERENCE:
UA Handbook
page 17

- ❖ Goal
 - Enter a goal (prevention, response, recovery)
- ❖ Solution Area
 - Select the solution area (planning, organization, equipment, training, exercises)
- ❖ Objective
 - Enter the objective
- ❖ Implementation Steps
 - Enter the implementation steps

Goals

- ❖ The Goals for your Urban Area Strategy should be broad statements of intent that cover a specified amount of time. By providing goals that relate upward to your vision, the desired results of your strategy will be clear.

Objectives

- ❖ By providing clear objectives that relate upward to your goals, specific tasks to be accomplished can be developed.
- ❖ Objectives should address efforts needed to increase capabilities



Measurable Objectives?

- ❖ It is critical that objectives be measurable. Each objective must contain concrete information that identifies when it has been met.

Implementation Plans

- ❖ Shifts the organization's focus from the development phase (mission, vision, goals, strategies, and objectives) to the action phase.
- ❖ It becomes the organizational roadmap that will guide you to your desired results.

Goal 1: Improve the ability of emergency responders to respond to a WMD terrorism incident involving a chemical agent.

Objective 1.1: Increase personal protection equipment for HazMat responders to ___% of requirements by September 1, 2004.

Objective 1.2: Increase overall chemical detection capabilities for HazMat responders to ___% of requirements by September 1, 2004.

Objective 1.3: Ensure all HazMat technicians are trained to the WMD Technician Level by September 1, 2004.

Objective 1.4: Train ___ % of all emergency responders to the WMD Awareness Level by September 1, 2004.

Objective 1.5: Increase overall UA Jurisdiction preparedness by conducting a chemical functional exercise in the top ten priority UA Jurisdiction by December 1, 2004.

Implementation Plan 1.1:

- 1. Review HazMat PPE needs from UA Jurisdiction assessments.**
- 2. Develop cost of purchasing __ % of reported need.**
- 3. Apply prioritization to PPE needs**
- 4. Develop application to ODP for required amount of PPE.**
- 5. Monitor the grant.**
- 6. Order the PPE when authorized by ODP.**
- 7. Transfer ownership of received PPE to UA Jurisdiction.**

Develop goals, objectives, and implementation plans

- ❖ Provide at least one objective (or more objectives, if warranted) for each goal.
- ❖ An implementation plan is required for each objective.

Section V: Evaluation Plan for the SHSS

- ❖ The Review and Analysis (R&A) Process
 - Monthly business meetings
 - Conduct R&A quarterly
 - Conduct annual R&A to reassess and update the entire strategic plan as necessary
- ❖ Evaluation
 - How often should R&A take place?
 - What exactly should be reviewed?
 - Who will be responsible for these reviews?
- ❖ Reporting Requirements
 - Financial reviews
 - Progress reports
 - Final administrative reports

REFERENCE:

UA Handbook
page 23

Section V: Evaluation Plan for the (cont.)

- ❖ The Role of the UA POC
 - Planning Objectives
 - Organization Objectives
 - Equipment Acquisitions
 - Training Objectives
 - Exercise Effectiveness



REFERENCE:
UA Handbook
page 25

- ❖ **Annex A – List of all UA Jurisdictions**
- ❖ **Annex B – UA implementation plan for development of the UA Strategy**
- ❖ **Report Options for the UA Strategy**



The UA POC will receive a DHS financial guide explaining each of those items due during the life of the grant.

- ❖ Financial reviews
- ❖ Progress reports
- ❖ Final administrative reports

Strategy Template Activity



Submit UA Strategy

❖ Terminal Objective

- At the conclusion of this module, participants will be able to submit the UA Strategy to DHS/ODP.

❖ Enabling Objectives

- Enter all UA data and recommendations into the DHS/ODP on-line data entry system
- Describe the process of submitting the UA Strategy to ODP

❖ Submit UA assessments and to ODP

- Submit the document using the ODP on-line data entry system
- **“Complete”** - properly conducted
- **“Incomplete”** - additional work needed before assessment can be submitted
 - Click on the “Incomplete” hyperlink to return to incomplete section
- UA-level agricultural sections listed as **“N/A”** were deactivated
- If all sections of the UA assessment and show **“Complete”**, submit the assessment to ODP

Discussion



Urban Area Strategy Technical Assistance (TA) Workshop

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Module 5

Administer the ODP Grant Award

❖ Terminal Objective

- At the conclusion of this module, participants will be able to develop the process that will be used to administer the UA grants for allocated resources.

❖ Enabling Objectives

- Review applicable UA policies and procedures that may affect the distribution of funding allocations to UA Jurisdiction
- Define the methods in which UA Jurisdiction will be allocated funding
- Provide all participating UA Jurisdiction notification on award allocations and instructions on the administration of funding

❖ Resource the UA Strategy

- Research applicable policies and procedures related to the administration of the ODP grant
- Determine what, if any, reporting requirements will be submitted to the UA POC from the UA Jurisdiction
- Submit reports to ODP

There are two immediately obvious funding methods:

- ❖ First, a formalized UA sub-grant process requiring UA Jurisdiction to apply for funding to the UA for this equipment.
- ❖ Second, the UA may choose to purchase the equipment directly and formally transfer it to UA Jurisdiction ownership
- ❖ In addition, a combination of these methods may also be used.

Provide all participating UA Jurisdiction notification on award allocations and instructions

- ❖ UA Jurisdiction should be made aware of additional instructions needed to assist them as well as the UA with the administration of this grant.
- ❖ As a result the purchase of projected equipment for each targeted UA Jurisdiction can take place in a standardized fashion.



ODP Grant Award *Urban Area Security Initiative Program* Reporting Requirements

Standardized reporting format

- ❖ Will your UA require UA Jurisdiction to provide performance reports to the UA POC?
- ❖ What reporting format will be used?
- ❖ A simple e-mail or phone message updating the UA POC on action items required by each UA Jurisdiction

What reports are to be submitted to the UA POC?

- ❖ Most grant administration requirements ask that certain reports be submitted to the funding agent during the grant year
- ❖ What reports will your UA need for the administration of the grant?

There are a couple of reports that you may wish to include in these submissions.

❖ **Receipt of goods**

- **If your UA will allow the UA Jurisdiction to purchase the equipment it has projected, the UA should expect to receive a notice of receipt once the UA Jurisdiction has taken delivery**

**There are a couple of reports that you may wish to include in these submissions.
(cont.)**

❖ Proof of transfer

- Your UA may wish to purchase the equipment projected by UA Jurisdiction and transfer title to those UA Jurisdiction once delivery has been made through drop shipment**

The frequency of performance reports

- ❖ How often will these performance reports be submitted to the UA?
 - It will be important that the UA provides standardized due dates for any and all reports submitted from UA Jurisdiction.

Reports to be submitted by the UA POC to the ODP

❖ Quarterly reports due

➤ Financial Updates

- Jan-Mar: Due 45-days after the end of the quarter
- Apr-Jun: Due 45-days after the end of the quarter
- Jul-Sep: Due 45-days after the end of the quarter
- Oct-Dec: Due 45-days after the end of the quarter

What reports are to be submitted to the ODP (cont.)

❖ Biannually reports due

➤ Progress reports

- Jan-Jun: Due 30-days after the end of the reporting period
- Jul-Dec: Due 30-days after the end of the reporting period

Discussion