THIRA-SPR Unified Reporting Tool User Guide

National Preparedness Assessment Division,
Federal Emergency Management Agency
(FEMA)

CONTENTS

UNIFIED REPORTING TOOL GUIDE

PURPOSE OF THE USER GUIDE

This THIRA-SPR Unified Reporting Tool User Guide (Guide) is your reference for the THIRA-SPR Unified Reporting Tool (URT)—FEMA's single tool for collecting the Threat and Hazard Identification and Risk Assessment (THIRA) and the State Preparedness Report (SPR). The THIRA is a risk-assessment process that helps communities identify the capability targets and resource requirements necessary to address anticipated and unanticipated risks. The SPR is a capability assessment in which communities assess their abilities to achieve their THIRA targets.

This Guide is intended for all stakeholders contributing to the THIRA or SPR, including state, local, tribal, and territorial jurisdictions and all Whole Community partners. You can use this Guide as a companion reference guide when planning the assessment process, or as an aid when completing a specific THIRA or SPR step or action.

The Table of Contents lists the steps needed to complete the THIRA and SPR. While viewing the Table of Contents, you can navigate directly to a step or procedure by pressing **Ctrl** and clicking on the task title. Additionally, hypertext links appear in sections that lead to cross-referenced material in the Guide and additional material on the web.

ORGANIZATION OF THE USER GUIDE

The Guide walks you through the process of completing the THIRA and SPR. It is organized by sections, which correspond to the basic information needed to complete the THIRA and SPR. The sections are:

- Section 1 – Getting Started—Using the Unified Reporting Tool
- Section 2 – Completing the THIRA
- Section 3 – Completing the SPR
- Section 4 – Advanced Functionality

Each section includes the following components:

Objectives	The specific skills and knowledge you gain from the section
Key Terms	Definitions of key terms you will need to understand the section
Overview	Narrative descriptions, examples, and graphics of key concepts and processes
Steps	Methods used to complete the THIRA and SPR as detailed in CPG 201 and other policy documents
Actions	Individual procedures you perform to complete a THIRA or SPR step

Questions concerning the THIRA and SPR methodology and assessment processes should be directed to the point of contact for your FEMA region, as indicated in the User Support section

of the URT. Questions concerning technical support for the URT should be directed to FEMA at FEMA-SPR@fema.dhs.gov.

NEW FOR 2014

While the THIRA and SPR follow the same methodology as in 2013, FEMA has made a few changes to this year's URT based on feedback from the 2013 URT. The purpose of these changes is to make the URT more usable (giving you more flexibility in providing responses) and to make the assessment more objective. Significant changes are listed below.

URT modifications:

- The **Welcome and Overview** worksheet includes space to provide approving authority information for your THIRA and SPR assessment.
- An **Import 2013 Responses** feature was added to the **Navigation and Progress** worksheet so you can import your 2013 THIRA and SPR data as a starting point for the 2014 assessments.
- After entering **Jurisdiction Information** and viewing the **Terms of Release**, the URT places you on the **Navigation and Progress** worksheet. From this point, you can move to any section of the assessment you desire. While this Guide suggests a certain logical sequencing for your assessment (Figure 2-1 and Figure 3-1), you can enter THIRA and SPR data in any order in the URT.

THIRA modifications:

- On the **THIRA Step 1 - Identify the Threats and Hazards of Concern** worksheet, Terrorism was removed as a specific human-caused threat and replaced by a checkbox to indicate whether or not your selected human-caused threat is terrorism related.
- On the **THIRA Step 3 - Establish Capability Targets** worksheet, you must enter at least one **Desired Outcome** and **Impact** statement for each core capability to complete the assessment.
- The National Incident Management System (NIMS) resources used in dropdown menus on the **THIRA Step 4 - Apply the Results** worksheet have been updated and a link is provided to the most recent NIMS-typed resource information.

SPR modifications:

- Review questions have been added to the **Planning**, **Operational Coordination**, and **Community Resilience** SPR worksheets. These questions consolidate reporting requirements previously collected through separate FEMA surveys.
- In cases where communities indicate they are less than fully capable of meeting their THIRA targets, the SPR now asks which functional areas the primary capability gaps fall into. The URT collects this gap information via checkboxes that replace the gap statements listed on the 2013 **Capability Assessment** worksheets.
- On the **Capability Assessment** worksheet, mutual aid capability ratings are optional.
- On the **Capability Assessment** worksheet, text gap descriptions are optional.
- On the **Capability Assessment** worksheet, an assessment corroboration entry is required.

Section 1: GETTING STARTED—USING THE UNIFIED REPORTING TOOL

OBJECTIVES

In this section you will learn how to:

- Open the URT and enable macros
- Enter your jurisdiction, point of contact, and approving authority information
- Review the URT disclosure, overview, modification, and user support information
- Navigate within the URT and check your progress

KEY TERMS

Unified Reporting Tool (URT): The URT is the format in which the Federal Emergency Management Agency (FEMA) collects 2014 assessment and survey data. The Tool incorporates the THIRA steps found in the *Comprehensive Preparedness Guide (CPG) 201, Second Edition* and the SPR steps used to assess current capabilities. It is a stand-alone Microsoft Excel file that guides you through the task of developing your THIRA or combined THIRA and SPR.

Overall Progress: The percentage of completion of THIRA and SPR assessment steps as seen on the **Navigation and Progress** worksheet.

THIRA: The 2014 Threat and Hazard Identification and Risk Assessment (THIRA) is a comprehensive approach for states, territories, urban areas, and tribes to identify and assess threat and hazard risks and the capability requirements those risks impose.

SPR: The 2014 State Preparedness Report (SPR) is a capability assessment in which communities report on their abilities to achieve their THIRA targets.

SECTION 1 OVERVIEW

The information presented in this section provides an overview of the URT's functionality and layout. It includes instructions on how to open the tool, review basic information about the THIRA and SPR, enter information about your community, navigate throughout the assessment, and check your progress.

USING THE UNIFIED REPORTING TOOL

The URT is a macro enabled Microsoft Excel file that eases the burden of providing THIRA and SPR assessment data to FEMA. The data entry worksheets automate the process of completing THIRA and SPR assessments. You enter information through the use of drop-down menus, text boxes, checkboxes, and control buttons that sequence you through the THIRA and SPR assessments. Once all steps are completed, you should submit the URT to your respective FEMA Regional Preparedness Coordinator and send a copy to FEMA-SPR@fema.dhs.gov (see Submitting Your Data). Your FEMA regional staff will review the data file and FEMA will use

the file to inform preparedness programs and to develop reports such as the National Preparedness Report.

The systems requirements for running the URT are the same as required to run Microsoft Office. Minimum requirements for Office 2010 are:
- Processor: 500 MHz
- Memory (RAM): 256 MB (512 MB recommended)
- Hard disk: 3 GB
- Display: 1024 X 768

You must save the Microsoft Excel file as an ".xlsm" (Excel macro-enabled workbook) file. **This URT runs best on Microsoft Office 2010**. The Tool will run on earlier versions of Excel and Excel 2013, but for best results use Excel 2010. If you have problems running the 2014 URT, see Appendix F – URT Troubleshooting.

For a Section 508-compliant version of the URT survey, contact FEMA-SPR@fema.dhs.gov.

Some Helpful Hints Before You Begin

Before completing the THIRA you should solicit input from preparedness stakeholders. You can do this by creating THIRA-SPR core capability pages and distributing them to sub-jurisdictions and contributors. See Engaging Stakeholders and Obtaining Stakeholder Input for more information about soliciting stakeholder input.

Be sure to allow plenty of time to incorporate input from stakeholders. As stated in the FY 2014 Homeland Security Grant Program (HSGP) Funding Opportunity Announcement: "Urban Area Security Initiatives (UASIs) are required to submit an annual update to their THIRA. UASIs will submit their THIRA to the designated State Administrative Agency…State submissions of the THIRA and SPR are due no later than December 31, 2014. The State should coordinate with each eligible Urban Area to ensure that the UASI THIRA submissions occur in advance of this deadline, as the State must include the Urban Area's input when conducting the statewide SPR assessment."

You may find it helpful to "cut and paste" information from different sections of the URT and/or documents outside the URT to a text block. When doing so, always paste text into the formula bar (the bar immediately above the worksheet) or double click in the text block and paste. This will prevent your new text formatting from interfering with worksheet formatting.

When using a link within the URT, you may want to quickly navigate back to your original page and location. Use the Alt+LeftArrow key combination (hold down the Alt key and press the Left Arrow key) to quickly get back to where you started.

When saving your file after entering a large amount of data, you may receive the Windows error message, "Excel not responding." Allow Excel up to one minute to save the file before forcing the application to close. It is always a good idea to incrementally save your work as you add data to the URT.

Opening the URT and Enabling Macros

You must enable Microsoft Excel macros for the URT to work properly. The macros are used to sequence you through the THIRA and SPR assessment steps, import and export assessment data, and generate reports. To enable macros, open the URT and select the "Enable Macros" or "Enable Content" prompt from the security warning at the top of the screen.

- The warning you receive is automatically generated by Microsoft Excel when opening, for the first time, any file containing code that does not come from a "trusted" source or file location you have previously designated. You can safely enable the macros in the URT. The macro code in the URT will not harm your computer.

Your security settings may automatically disable macros. If this is the case, you must save the URT to a folder on your workstation and restart the URT from that location before you can enable macros. See the Compatibility with Microsoft Office Security Settings section.

If you have enabled the macros but the URT generates errors when you try to run them, you will need to take extra steps to configure the tool properly for your computer. If you encounter this problem, send your file to the THIRA/SPR Help Desk at FEMA-SPR@fema.dhs.gov or call 202-786-9576. See the Ensuring Compatibility with Microsoft Office Environments troubleshooting procedure.

When you first open the URT, you are presented with the **Welcome and Overview** worksheet. This worksheet provides you with basic information about the THIRA and SPR and lists the steps you must accomplish to complete them. Begin using the URT by entering your jurisdiction information.

Procedure: Entering Jurisdiction Information

To enter your jurisdiction name and contact information (see Figure 1-1):

— Open the URT and read the welcome, notice, overview, 2014 tool modification, and user support text.

— In the **Jurisdiction Name** field, enter the name of your state, territory, urban area, or tribe.

— In the **Assessments** field, select the **THIRA** checkbox if you will be completing only the THIRA assessment or both checkboxes if you will be completing the THIRA and SPR assessments. You cannot complete the SPR without completing the THIRA.

  o The steps and actions detailed in this Guide assume you are completing both the THIRA and SPR assessments. If you select **THIRA** only, the tool will not show SPR-related pages, some SPR functions will be disabled, and your screen images may differ from the Guide's figures. Once in the THIRA assessment, you can always go back to the **Welcome and Overview** worksheet and select **SPR** to complete the SPR.

— In the **Point of Contact** and **Approving Authority** text boxes, enter the following information:

o In the **Name** field, enter the name of the data collection POC/approver for your jurisdiction.

o In the **Title** field, enter the POC's/approver's title.

o In the **Organization** field, enter the POC's/approver's organization.

o In the **E-mail address** field, enter the POC's/approver's e-mail address.

o In the **Phone number** field, enter the POC's/approver's phone number.

— In the **Approving Authority** text box, enter the **Approval Date** (when approved). The format for the date is month/day/year; e.g., 4/30/2014.

— Scroll to the bottom of the worksheet and click the **Begin**>> button.

o The URT contains many hyperlink command buttons that guide you through the THIRA and SPR assessment process. Alternatively, you can use the worksheet tabs at the bottom of the window to navigate through the URT.

Jurisdiction Name	
Assessments	☐ THIRA ☐ SPR
Point of Contact — Name:	
Title:	
Organization:	
E-mail address:	
Phone number:	
Approving Authority — Name:	
Title:	
Organization:	
E-mail address:	
Phone number:	
Approval Date:	

Figure 1-1: Data Fields Used to Enter Jurisdiction Information

Terms of Release and Technical Support Information

Clicking on the **Begin**>> button takes you to the **Terms of Release** worksheet. This worksheet contains release and use information that details how FEMA will protect your assessment data to encourage you to provide accurate assessments.

— Read the Terms of Release text.

— Scroll to the bottom of the worksheet and click the **Continue to Navigation**>> button.

o   Any distribution of THIRA or SPR information by FEMA will be marked *FOR OFFICIAL USE ONLY (FOUO)*, handled in accordance with the Terms of Release, and contain the same confidentiality notice found in the URT.

Clicking on the **Continue to Navigation**>> button will take you to the **Navigation and Progress** worksheet.

NAVIGATION AND PROGRESS

The **Navigation and Progress** worksheet (see Figure 1-2) is your "control panel" for the THIRA and SPR assessments. From this worksheet you can access all other THIRA and SPR worksheets and track your progress. The majority of the worksheet is a table consisting of the 31 core capabilities listed down the vertical axis (column F) and the THIRA and SPR assessment steps listed across the top of the horizontal axis (row 4). The table lists the assessment steps beginning with the THIRA steps starting in column G:

*   Step 1: Threat and Hazards
*   Step 2: Context Statements
*   Step 3: Desired Outcomes
*   Step 3: Impacts
*   Step 3: Capability Targets
*   Step 4: Resource Requirements
*   Post-Assessment Questions

This is followed by the first two SPR steps, Reporting Requirements and Priority (columns O and P) and the steps associated with each Planning, Organization, Equipment, Training, and Exercises (POETE) solution area (columns R through AJ):

*   Internal Rating
*   Mutual Aid Rating
*   Gap Description

The last three columns of the table track entries for Assessment Corroboration, Gap Responsibility, and the Post-Assessment Questions (columns AL to AN).

The **Navigation and Progress** worksheet table is a matrix that identifies progress made in each THIRA and SPR step for each core capability. The boxes in Columns G through AN turn from red to green as you complete each required section of the THIRA and SPR, and from white to green as you complete each optional section. The THIRA is complete when columns G through M are entirely green or white and the SPR is complete when columns O through AN are entirely green or white. The black background for cells in column O indicates that the reporting requirement questions do not apply to these core capabilities.

The upper left portion of the worksheet contains an **Overall Progress** status box. This box tracks the percentage of completion of the THIRA and SPR steps across all capabilities.

Navigation within the URT is very flexible. Once at the **Navigation and Progress** worksheet, you navigate to different worksheets in the following ways:

- THIRA Steps 1-3: click the **THIRA Steps 1-3>>** button (covered in Section 2).
- THIRA Step 4 for each capability: click the associated **THIRA Step 4** button (covered in Section 2).
- SPR Assessment for each capability: click the associated **SPR Assessment** button (covered in Section 3).
- To view results: click the **SPR Data>>** or **SPR Heat Map>>** buttons (covered in Section 4).
- To import 2013 URT data: click the **Import 2013 Responses>>** button (covered in Section 4).
- To import and export 2014 SPR results: click the **Export Core Capabilities>>** or **Import SPR Contributions>>** buttons (covered in Section 4).
- To print out THIRA or SPR data to a Microsoft Word document: click on the **Write Word Document>>** button (covered in Section 4).

Additionally, you may select the individual worksheet tabs at the bottom of the Excel window. The worksheet tabs are color coded in the same manner as the **Navigation and Progress** worksheet cells to indicate the progress you have made.

Figure 1-2: Navigation and Progress Worksheet

Section 2: COMPLETING THE THIRA

OBJECTIVES

In this section you will learn how to:

- Enter threats and hazards that are a concern to your community
- Enter context statements to the threats and hazards you identified
- Enter capability targets for each core capability
- Apply your results by entering resource requirements for each core capability
- Answer the THIRA post-assessment questions

KEY TERMS

Core Capability: Distinct critical elements necessary to achieve the National Preparedness Goal. Core capabilities are designed to provide an integrated approach to preparedness, linking programs together and allowing for a direct assessment of progress. The SPR is a self-assessment of the 31 core capabilities from the National Preparedness Goal.

Capability Target: Specific, measurable definitions of success for each core capability given the threats and hazards that the community faces, based on desired outcomes and impacts (see Table 2-1).

Core Capability	Capability Target
Screening, Search, and Detection	Screen 100 percent of targeted cargo, conveyances, mail, baggage, and people associated with an imminent terrorist threat or act using technical, non- technical, intrusive, or non-intrusive means.
Access Control and Identity Verification	Establish disaster area access control procedures (physical and cyber) for up to 20,000 responders and volunteers within 72 hours of event start.
Long-term Vulnerability Reduction	Establish building codes sufficient to reduce the severity of damage from a major earthquake (magnitude 7.3) by 2020 for new construction. Retrofit 20 percent of existing vulnerable critical facilities to withstand a major earthquake by 2030. Ensure state designated shelters are able to accommodate approximately 40,000 people and withstand a major earthquake by 2020.
Fatality Management Services	During the first 72 hours of an incident, conduct operations to recover 255 fatalities in a 20-square-mile disaster area.
Infrastructure Systems	Within 14 days restore 90 percent of electrical power within the six-county disaster zone (8 damaged electrical power facilities).

Table 2-1: Example Capability Targets

Desired Outcomes: The standards to which the community must manage an incident. Outcomes may be timelines (within 72 hours of event start) or percentages (100 percent completion of an activity).

Impacts: Descriptions of how each threat and hazard will affect the community. Some examples are displaced households, fatalities, injuries/illnesses, direct economic impacts to the community, indirect economic impacts from supply chain system disruption, and disruption to infrastructure.

Threat/Hazard Category: There are three threat/hazard categories: natural, technological, and human-caused.

Threat/Hazard Context Description: A brief explanation of the different conditions under which a threat or hazard might occur that are of greatest concern to the community. The context description helps identify desired outcomes.

Threat/Hazard Type: Specific threats/hazards within a threat/hazard category (see Table 2-2).

Natural	Technological	Human-caused
Resulting from acts of nature	Involves accidents or the failures of systems and structures	Caused by the intentional actions of an adversary
- Animal Disease - Avalanche - Drought - Earthquake - Extreme Temperatures - Flood - Hurricane/Typhoon - Invasive Species - Pandemic - Human - Severe Storm/High Winds - Sinkhole/Landslide/ Expansive Soils - Space Weather - Tornado - Tsunami - Volcanic Eruption - Wildfire - Winter Storm/Ice Storm - Other (Describe in Step 2)	- Dam Failure - Fuel shortage - Hazmat Release – Chemical - Hazmat Release - Radiological - Mine Accident - Mine/Underground Fire - Pipeline Explosion - Transportation Accident - Urban Conflagration - Utility Interruption - Water Contamination - Other (Describe in Step 2)	- Active Shooter - Aircraft as a Weapon - Arson - Biological Attack - Chemical Attack - Civil Disturbance - Cyber Attack - Explosive Devices - Food/Water Contamination - Improvised Nuclear Attack - Mass Migration - Metal Theft - Radiological Attack - Other (Describe in Step 2)

Table 2-2: Threat/Hazard Categories and Types

SECTION 2 OVERVIEW

This section provides a brief background on the four-step THIRA process and post-assessment questions. For more detailed information on the THIRA, see the *CPG 201, Second Edition.*

THIRA and SPR

The THIRA and SPR are complementary and interconnected. Jurisdictions use the THIRA to identify core capability resource requirements and the SPR to assess their internal and mutual aid capability relative to those requirements. As such, jurisdictions must first use the THIRA to identify capability targets before they can use the SPR. The URT serves as the data collection mechanism for the THIRA and SPR assessments. Figure 2-1 shows the four steps of the THIRA process.

Figure 2-1: The THIRA Process

In Step 1 of the THIRA process you list the threats and hazards that are a concern to your community. In this step you focus on what should and should not be on the list. You enter threats and hazards in the URT by first selecting the hazard category and then the hazard type from drop-down menus. This creates a threat/hazard table that grows in size as you add more information in later THIRA steps.

In Step 2 of the THIRA process you briefly describe the conditions under which a threat or hazard might occur which pose the greatest concern to your community. These context descriptions should provide a sense of scale by including one or two key factors that would influence the consequences of the threat or hazard. The context descriptions are entered in the threat/hazard table directly below the threat/hazard type.

In Step 3 of the THIRA process you determine a capability target for each core capability. A capability target is based on a desired outcome statement combined with an impact statement. The desired outcome statement describes the standards to which your community plans to manage the threat or hazard, and the impact statement describes how each threat and hazard will affect the community. You create a capability target for each core capability. The threat/hazard table provides space under each threat/hazard for desired outcomes and impacts and a space across all threats and hazards for a capability target.

In Step 4, you apply the results of the THIRA by estimating the resources required to meet capability targets. You document the resources (NIMS typed and other resources) you need to achieve your community's capability targets in a resource requirement table. The URT contains a separate Resource Requirement worksheet for each core capability, and these worksheets are linked together by the Navigation and Progress worksheet. The Navigation and Progress worksheet contains buttons that you use to navigate to the Resource Requirement worksheets, and the cells in the progress table change color to help you keep track of your progress.

SECTION 2 STEPS AND ACTIONS—COMPLETING THE THIRA

To complete the THIRA, you will use a series of worksheets that guide you through the THIRA process. The steps and actions you need to take to complete the THIRA are detailed in the following section.

Procedure: THIRA Step 1 – Identify the Threats and Hazards of Concern

Use the **THIRA Step 1 – Identify the Threats and Hazards of Concern** worksheet to enter the threats and hazards that are a concern to your community. Starting with the second column, each column represents a threat/hazard category and threat/hazard type (see Figure 2-2). For each threat/hazard:

— From the **Navigation and Progress** worksheet, click on the **THIRA Steps 1-3**>> button.

  o You may find it helpful to import your 2013 URT data to your 2014 URT and view last year's responses to the THIRA and SPR assessments. See IMPORT 2013 RESPONSES in Section 4 for more information on how to do this.

— Select a threat/hazard category from the drop-down list in the upper box.

— Select a threat/hazard type from the drop-down list in the corresponding lower box.

  o Note that the threat/hazard type menu is context sensitive. It displays only the threat/hazard types for the respective threat/hazard category selected above it. Common across the three categories is the "other" type. If you select the other type, you must name and describe the threat or hazard in THIRA Step 2 – Give the Threats and Hazards Context.

— If you select a Human-caused threat category/type, and the threat is terrorism-related, click the **Terrorism** checkbox inside the type cell.

  o Note that when you make a selection from the drop-down list, the cell is active and highlighted. When the cell is active, the drop-down list is active. This prevents you from selecting the **Terrorism** checkbox. To access the checkbox, click in any other cell and then click the **Terrorism** checkbox.

		☐ Delete	☐ Delete
Add 2013 Responses	**Enter Threats and Hazards -->**	Natural	Technological
Add Additional Threat/Hazard Delete Selected Threat/Hazard		**Animal Disease**	**Dam Failure**

Figure 2-2: Enter Threat/Hazard Categories and Types

— To add an additional threat or hazard column, click the **Add Additional Threat/Hazard** button.

  o The URT was built with room for three columns to enter threats and hazards. You can add or delete columns to accommodate your threats and hazards.

— To delete a threat or hazard, check the **Delete** box above the hazard you want to remove, and then click the **Delete Selected Threat/Hazard** button in the first column of the table.

  o Be careful when using the delete function. Deleted threats and hazards cannot be undone. The columns are created and deleted through a macro which is an action that Microsoft Excel cannot undo or redo.

— Once you have identified all of your community's threats and hazards, click **Continue to Step 2>>**.

Step 1 creates a threat/hazard table for your community that will grow in size as you add more information in later THIRA steps.

Procedure: THIRA Step 2 – Give the Threats and Hazards Context

Continue to use the worksheet to enter the conditions under which a threat or hazard might occur that pose the greatest concern to your community. The threat/hazard table you created in Step 1 appears in this worksheet with an additional text box below each threat/hazard type (see Figure 2-3). For each threat/hazard:

— Enter a brief context description that explains the conditions under which the threat or hazard might occur in the box below the threat/hazard type.

  o If you selected the "other" threat/hazard type in Step 1, ensure that you name and describe the threat or hazard in addition to the conditions under which the threat or hazard might occur in your context description.
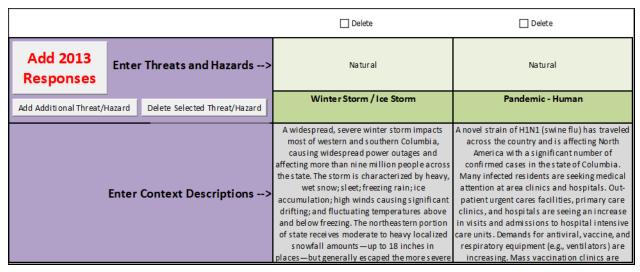
		☐ Delete	☐ Delete
Add 2013 Responses	**Enter Threats and Hazards -->**	Natural	Natural
Add Additional Threat/Hazard Delete Selected Threat/Hazard		**Winter Storm / Ice Storm**	**Pandemic - Human**
	Enter Context Descriptions -->	A widespread, severe winter storm impacts most of western and southern Columbia, causing widespread power outages and affecting more than nine million people across the state. The storm is characterized by heavy, wet snow; sleet; freezing rain; ice accumulation; high winds causing significant drifting; and fluctuating temperatures above and below freezing. The northeastern portion of state receives moderate to heavy localized snowfall amounts—up to 18 inches in places—but generally escaped the more severe	A novel strain of H1N1 (swine flu) has traveled across the country and is affecting North America with a significant number of confirmed cases in the state of Columbia. Many infected residents are seeking medical attention at area clinics and hospitals. Out-patient urgent cares facilities, primary care clinics, and hospitals are seeing an increase in visits and admissions to hospital intensive care units. Demands for antiviral, vaccine, and respiratory equipment (e.g., ventilators) are increasing. Mass vaccination clinics are

Figure 2-3: Enter Context Descriptions

— Once you have completed context descriptions for all threat/hazard types, click the **Continue to Step 3>>**.

  o You can add, modify, or remove threats and hazards while completing Step 2. If you change the threat/hazard category, ensure that you change the threat/hazard type appropriately.

  o Be careful when using the delete function. Deleted threats and hazards cannot be undone.

Procedure: THIRA Step 3 - Establish Capability Targets

Continue using this worksheet to develop and enter targets for each core capability. The threat/hazard table you created in Step 2 now appears with additional desired outcome, impact, and capability target rows for each core capability. Create the capability target by using the desired outcome and impact statements from each threat/hazard type (see Figure 2-4). For each core capability:

— Enter a desired outcome that describes the standards to which the community must manage an incident (at least one entry per core capability is required).

— Enter the impacts that describe how each threat and hazard will affect the community (at least one entry per core capability is required).

— Enter the target: a specific, measurable definition of success for each core capability (an entry for each core capability is required).

  o A **Core Capability Journal Notes/Comments** text box is in the far right column in each core capability row. Use of the text box is optional, but may help you keep track of the departments, agencies, or people who helped you determine your community's capability outcomes, impacts, and targets. There is also an **Overall Journal Notes/Comments** text box at the top of the column to capture more general information about your threats, hazards, and/or capability targets.

Once you have entered capability targets, click the **Continue to Navigation Page**>> button.

- The URT will not limit the sequencing of these entries. To complete the THIRA you will eventually have to establish capability targets for all 31 core capabilities. You can start the SPR assessment at any time, coming back to THIRA Step 3 when you are ready to establish more targets.
- However, completing Steps 1 through 3 of the THIRA process before Step 4 will likely help you determine the NIMS-typed resources needed to achieve your capability target.
- Additionally, completing THIRA Steps 1 through 4 before beginning the SPR will likely help you provide an accurate assessment.
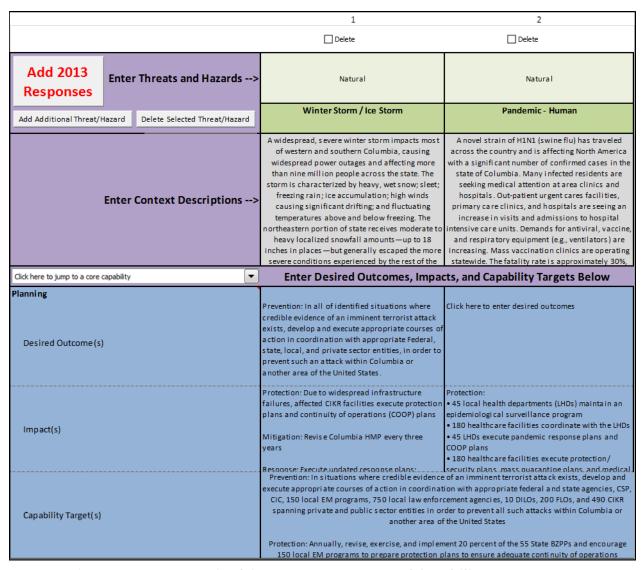
	1	2
	☐ Delete	☐ Delete
Add 2013 Responses — Enter Threats and Hazards --> [Add Additional Threat/Hazard] [Delete Selected Threat/Hazard]	Natural	Natural
	Winter Storm / Ice Storm	**Pandemic - Human**
Enter Context Descriptions -->	A widespread, severe winter storm impacts most of western and southern Columbia, causing widespread power outages and affecting more than nine million people across the state. The storm is characterized by heavy, wet snow; sleet; freezing rain; ice accumulation; high winds causing significant drifting; and fluctuating temperatures above and below freezing. The northeastern portion of state receives moderate to heavy localized snowfall amounts—up to 18 inches in places—but generally escaped the more severe conditions experienced by the rest of the	A novel strain of H1N1 (swine flu) has traveled across the country and is affecting North America with a significant number of confirmed cases in the state of Columbia. Many infected residents are seeking medical attention at area clinics and hospitals. Out-patient urgent cares facilities, primary care clinics, and hospitals are seeing an increase in visits and admissions to hospital intensive care units. Demands for antiviral, vaccine, and respiratory equipment (e.g., ventilators) are increasing. Mass vaccination clinics are operating statewide. The fatality rate is approximately 30%,
[Click here to jump to a core capability ▼]	**Enter Desired Outcomes, Impacts, and Capability Targets Below**	
Planning		
Desired Outcome(s)	Prevention: In all of identified situations where credible evidence of an imminent terrorist attack exists, develop and execute appropriate courses of action in coordination with appropriate Federal, state, local, and private sector entities, in order to prevent such an attack within Columbia or another area of the United States.	Click here to enter desired outcomes
Impact(s)	Protection: Due to widespread infrastructure failures, affected CIKR facilities execute protection plans and continuity of operations (COOP) plans Mitigation: Revise Columbia HMP every three years Response: Execute updated response plans;	Protection: • 45 local health departments (LHDs) maintain an epidemiological surveillance program • 180 healthcare facilities coordinate with the LHDs • 45 LHDs execute pandemic response plans and COOP plans • 180 healthcare facilities execute protection/ security plans, mass quarantine plans, and medical
Capability Target(s)	Prevention: In situations where credible evidence of an imminent terrorist attack exists, develop and execute appropriate courses of action in coordination with appropriate federal and state agencies, CSP, CIC, 150 local EM programs, 750 local law enforcement agencies, 10 DILOs, 200 FLOs, and 490 CIKR spanning private and public sector entities in order to prevent all such attacks within Columbia or another area of the United States Protection: Annually, revise, exercise, and implement 20 percent of the 55 State BZPPs and encourage 150 local EM programs to prepare protection plans to ensure adequate continuity of operations	

Figure 2-4: Enter Desired Outcomes, Impacts, and Capability Targets
(rows continue for all 31 core capabilities)

Procedure: THIRA Step 4 – Apply the Results

In Step 4, you apply the results of the THIRA by estimating the key, shareable resources required to meet capability targets. Resource requirements are entered into the URT through a series of worksheets, one for each core capability. In this step you list the resources (NIMS-typed or other resources) your community needs to attain the desired capability target. You access the **Resource Requirement** worksheets from the **Navigation and Progress** worksheet using the **THIRA Step 4** button for each capability (red outline in Figure 2-5).

Figure 2-5: Select THIRA Resource Requirement Worksheets from the Navigation and Progress Worksheet (partial view of worksheet)

To reach the **Resource Requirement** worksheets from the **Navigation and Progress** worksheet:

— Locate the **THIRA Step 4** button in the row for the capability for which you want to enter resource requirements.

— Click on the **THIRA Step 4** button.

Each **Resource Requirement** worksheet provides room for a number of resource records (rows) to document the resources needed by your community to attain your capability target. Enter the records in two different tables: **NIMS-typed Resources** and **Other Resources** (see Figure 2-6). To enter data in the **NIMS-typed Resources** table (see Appendix E for a listing of the drop-down menu selections):

— Select a resource category from the drop-down menu in the **Category** column.

— Select a NIMS-typed resource from the drop-down menu in the **Resource** column.

  o Once you select the category, the resource menu only displays those resources associated with the category selected.

— Select a resource type from the drop-down menu in the **Type** column.

— Enter the number of resources needed to achieve the capability target level in the **Number Required** column.

— If you need to add more table rows, click the **Add Entry** or **Add Multiple Entries** buttons under the **NIMS-typed Resources** heading in the first column of the table.

  o The **Add Multiple Entries** button brings up a dialog box where you can specify the number of rows to add. Use this to add a large number of rows to the table.

Use the **Other Resources** table to enter key, shareable resources that are not NIMS-typed but are required to achieve the desired outcome. To enter data in the **Other Resources** table:

— Enter the resource name in the **Resource** column.

— Specify the resource category in the **Category** column.

  o The dropdown menu for this column is the same as found in the **NIMS-typed Resources** table's **Category** column with the addition of an **Other** selection. Select **Other** if your community's resource does not fit into one of the NIMS categories.

— Enter the number of resources needed to achieve the capability target level in the **Number Required** column.

— Click the **Add Entry** or **Add Multiple Entries** buttons under the **Other Resources** heading to add more rows to the table.

Go To Assessment	Return to Navigation			
Capability Target				
Within 72 hours, move and deliver food, water, and essential supplies to meet the needs of 250,000 disaster survivors, including individuals with functional needs, into a congregate care setting				
Resource Requirements				Add 2013 Responses
NIMS-typed	**Category**	**Resource**	**Type**	**Number Required**
Resources Add Entry Add Multiple Entries	Mass Care	Field Kitchen Unit	Type I	13
	Mass Care	Mobile Kitchen Unit	Type I	25
	Mass Care	Field Kitchen Manager	Type I	13
Other Resources Add Entry Add Multiple Entries	**Resource** *(Example: Case Management Team)*		**Category**	**Number Required**
	Emergency Response Vehicle		Mass Care	20

Figure 2-6: Enter NIMS Tier I and Other Resources

17

Once you have listed the capability's resource requirements, click the **Go To Assessment** button to proceed to the SPR assessment for the capability, or click **Return to Navigation** to go back to the **Navigation and Progress** worksheet and enter resource requirements information for other capabilities.

Procedure: Answer THIRA Post-Assessment Questions

The **Navigation and Progress** worksheet provides a **THIRA Post-assessment Questions>>** button to access eight questions about your community's THIRA process and, for those communities with a UASI, a series of questions about your Urban Area Working Group. The THIRA post-assessment questions ask for information on departments, agencies, and organizations that participated in your THIRA; and the data sources and tools used in the assessment. All questions on this worksheet that are not listed as optional must be fully answered for this section to be completed. To answer these questions:

— From the **Navigation and Progress** worksheet, click on the **THIRA Post-assessment Questions>>** button.

— For questions 1 and 2, place a number in the **Number Participating** column for each type of department, agency, or organization participating in the assessment (see Figure 2-7).

  o If the department, agency, or organization is not listed, you can add it to the bottom of the far left column. If no departments, agencies, or organizations participated in the assessment, click the checkbox at the bottom of the table.

— Question 3 is optional and allows you to list individual departments, agencies, NGOs, or jurisdictions that participated in the THIRA process.

1. Which of the following types of governmental departments and agencies participated in the THIRA process, and how many departments/agencies of each type participated?									
	Number Participating								
Department / Agency	**Federal**	**State**	**Territory**	**County**	**UASI**	**Other City**	**Tribal**	**Other (specify)**	**Other (specify)**
Emergency Management / Homeland Security									
Fusion Center									
Law Enforcement / Public Safety									
Fire/EMS									
Public Health									
Historic / Cultural Resources									
Environment									
Transportation									
Agriculture									
Executive Branch									
Other (specify)									
Other (specify)									
Other (specify)									
Other (specify)									
Other (specify)									
Other (specify)									
Other (specify)									
Not Applicable ☐									

Figure 2-7: THIRA Post-assessment Question #1

— For questions 4 and 5, enter information about the data sources used to inform the THIRA and the limitations you may have found during your THIRA development, respectively.

— For question 6, click the appropriate checkboxes or enter the appropriate text to identify the modeling and/or visualization tools used in your assessment (see Figure 2-8).

  o If you used a modeling or visualization tool not listed, click the **Other** checkbox and enter the name of the tool in the text box to the right.

6. What modeling or visualization tools were used to inform the THIRA?
  ☑ ALOHA
  ☑ DHS OneView
  ☑ Flood maps
  ☑ HAZUS-MH
  ☑ HURREVAC
  ☐ LandScan USA
  ☐ National Climate Assessment Report
  ☐ SLOSH
  ☐ Sea Level Rise and Coastal Flooding Impacts Viewer
  ☐ US Army Corps of Engineers Debris Model
  ☐ None
  ☐ Other:

Figure 2-8: THIRA Post-assessment Question #6

— If your community does not possess a UASI, select **State/Territory** or **Other** from the dropdown box in the **Type** area for question 7. This will credit you with completing question 7 (see Figure 2-9).

— If your community possesses a UASI, select **Urban Area** from the dropdown box in the **Type** area for question 7. Answers to the Urban Area Working Group questions are selected through a series of dropdown boxes and checkboxes in the following areas:

  1. Composition
  2. Charter
  3. UAWG Point of Contact

You must complete all areas to receive credit for completing question 7.

— For question 8, click the appropriate radio button. If you answer yes to the first part of question 8, complete the follow-on questions about climate change impacts.

— To return to the **Navigation and Progress** worksheet, click the <<**Return to Navigation** button.

7. Urban Area Working Group Questions		
Jurisdiction		
Instructions: Select your jurisdiction type.		
Type	[dropdown]	
Urban Area Working Group		
Instructions: Establishing a Urban Area Working Group (UAWG) is a requirement of UASIs in the 2014 HSGP Funding Opportunity Announcement (FOA). The following survey questions capture the required elements of a UAWG. Please complete this brief survey below to provide information on these required elements.		
Composition	Does your UASI have an Urban Area Working Group (UAWG)?	[dropdown]
	Does your UAWG include the following entities? (*Select all that apply.*) ☐ Representatives (either direct or indirect) for all relevant jurisdictions that comprise the Urban Area ☐ Representatives (either direct or indirect) for all response disciplines that comprise the Urban Area (law enforcement, fire service, emergency medical services, and emergency management) ☐ A local Citizen Corps Council or equivalent	
	Does your UAWG include tribal representatives?	[dropdown]
	Does your UAWG ensure the integration of local emergency management, public health, and healthcare systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident?	[dropdown]
Charter	Does your UAWG have a charter or other form of standard operating procedure for the governance of the UASI program?	[dropdown]
	Does your UAWG charter include the following? (*Select all that apply.*) ☐ UAWG structure overview ☐ Approach to membership ☐ Members and their associated jurisdictions ☐ Approach to the UAWG governance structure ☐ Approach to UAWG voting rights ☐ Approach to grant management and administration responsibilities ☐ Approach to funding allocation methodologies ☐ How decision made in UAWG meetings will be documented and shared with UAWG members	
	Has your jurisdiction submitted your UAWG charter to FEMA?	[dropdown]
	Is your UAWG charter available to all UAWG members?	[dropdown]
UAWG Point of Contact	Name:	
	Email:	
	Phone number:	

Figure 2-9: THIRA Post-assessment Question #7

Once you have completed the THIRA post-assessment questions, check the **Navigation and Progress** worksheet to ensure that all THIRA steps indicate green or white, and your overall THIRA progress indicates 100 percent. If you are only completing the THIRA assessment, you are done. See the Submitting Your Data section of this Guide for instructions on sending your data to FEMA.

If you will be completing an SPR assessment, proceed to Section 3: Completing the SPR.

Section 3: COMPLETING THE SPR

OBJECTIVES

In this section you will learn how to:

- Communicate the process and value of the SPR to whole community stakeholders
- Rate internal capability levels
- Rate enhanced capability levels made possible through mutual aid
- Assign priority levels to each capability
- Enter capability gap and recent advances information
- Indicate your perception of who is responsible for filling capability gaps
- Answer the SPR post-assessment questions

KEY TERMS

Solution Areas: POETE resource elements are solution areas that communities invest in to build and sustain capabilities. The capability assessments in the SPR are conducted at the POETE level.

- **Planning**: The development of policies, plans, procedures, mutual aid agreements, strategies, and other publications that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks.
- **Organization**: Individual teams, an overall organizational structure, and leadership at each level in the structure that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks. Organization includes paid and volunteer staffs who meet relevant qualification and certification standards necessary to perform assigned missions and tasks.
- **Equipment**: Equipment, supplies, and systems that comply with relevant standards necessary to perform assigned missions and tasks.
- **Training**: Content and methods of delivery that comply with relevant training standards necessary to perform assigned missions and tasks.
- **Exercises**: Exercises and actual events that provide an opportunity to demonstrate, evaluate, and improve the ability of core capabilities to perform assigned missions and tasks to standards necessary to achieve successful outcomes.

Internal Capability: The capacity that a community possesses through its own internal resources. Internal capability does not include resources coming from a higher level of government (state assistance to a county or federal assistance to a state) or mutual aid resources coming from outside the community.

Mutual Aid: An agreement between communities to assist one another on request by furnishing personnel, equipment, and/or expertise in a specified manner.

SECTION 3 OVERVIEW

This section provides instructions for completing the 2014 SPR—a broad assessment of a community's current capabilities relative to the targets identified in the THIRA.

The 2014 SPR follows the same methodology used for the past two years. States rate their current capability levels relative to their THIRA targets, and they provide context for their ratings.

Benefits of the SPR

The THIRA and SPR capture communities' required and current capabilities, respectively, to indicate where states have capability gaps. Many communities use this gap information to improve their preparedness programs. Examples include using the information to:

- Maximize the effectiveness of grant funding on preparedness programs and better demonstrate a return on investment.
- Initiate regional planning to improve strategic goals and clarify program objectives.
- Update Homeland Security Strategies.
- Encourage local, regional, and state resource sharing.
- Shape their Multi-year Training and Exercise Plan and the training and exercises provided in the plan.

Additionally, capability gap information will help communities fulfill the 2014 HSGP Funding Opportunity Announcement (FOA) requirements, specifically that "the Department of Homeland Security expects grantees to prioritize grant funding to address gaps identified through the annual SPR in achieving capability targets set through the annual THIRA."

Case Study: Aligning Strategic Goals and Objectives to Grant Programs
A state used the capability targets and gaps created from the 2013 THIRA and SPR to develop strategic goals and objectives, identify responsible agencies, and create a three-year budget plan to achieve those goals and objectives. The state then used the information in applications and investment justifications for multiple grant programs to better express its preparedness needs.

Engaging Stakeholders

The SPR is a broad assessment that examines preparedness in all 31 core capabilities and across the five mission areas. Further, in most communities, preparedness needs and current capabilities are different across different regions. Because of these factors, a single individual or office will not have the knowledge necessary to give an accurate community assessment. Engaging stakeholders—including both subject-matter experts in specific fields and experts on local conditions—is critical in developing an SPR that best reflects the capabilities of your community.

The need for stakeholder engagement is not unique to the SPR—the same reasons make collaboration critical to developing the THIRA as well. In many cases, the same experts that understand the capability requirements of the THIRA will also be experts on the current capability levels that the SPR examines. Because of this, several communities have treated the THIRA and SPR as a single process in the past. They have continued collaborations that began with the THIRA process as they moved into the SPR assessment.

Many communities have found that workgroups have been the best way to facilitate this collaboration. They have used both existing workgroups and workgroups specifically formed for the assessment. Including the appropriate functional leads and subject matter experts (SMEs) at these facilitated meetings has proved important to their success.

Case Study: Workgroups

For the 2013 SPR, one state organized 11 workgroups to assess threats and hazards, and determine capabilities. Each work group was assigned one or more core capabilities. Workgroup membership consisted of a facilitator, a co-facilitator from the lead agency supporting that capability, and representatives of the related support organizations. In all, over 100 government (federal, state and county/local), non-government, and private sector organizations participated in the assessment.

The URT includes several features that support stakeholder collaboration (see Advanced Functionality for instructions on their use). Five of these features are:

1. Exporting a workbook of THIRA-SPR core capability pages. You can solicit the opinions of different stakeholders by exporting core capability pages (all capabilities, a mission area group, or an ad-hoc group of capabilities) to sub-jurisdictions or contributors.
2. Importing assessment results from multiple stakeholders and viewing them all at once in the URT.
3. Printing one or more capability assessments or the entire SPR and sharing it with stakeholders.
4. Printing a blank SPR assessment and sending it to sub-jurisdictions as a template to collect SPR assessment data.
5. Sending SPR data (capability rating tables and charts, heat maps, or THIRA and SPR data) to stakeholders before workgroup meetings and contributor interviews.

States have also developed several effective techniques for helping stakeholders understand the SPR assessment. Past successful community activities include:

- Discussing the benefits of the SPR assessment with their stakeholders.
- Organizing and translating SPR information for their stakeholders.
- Developing surveys, templates, and tools to effectively communicate with their stakeholders.
- Discussing improvements made based on prior SPR submissions.

The SPR Assessment Process

The SPR assessment consists of two steps: rate current capabilities and provide context for capability ratings.

- In Step 1, you rate:
    o How close your community's current **internal** capability is to meeting the targets that were identified through the THIRA process, and
    o How close your community's **internal plus mutual aid** capability is to meeting the targets that were identified through the THIRA process (optional in 2014).

- In Step 2, you provide context for your assessment, including:
    o The priority you place on a capability,
    o The nature of the gap that exists between your needs and current capability,
    o Recent advances made in closing capability gaps,
    o If the assessment is corroborated through an exercise or real-world event, and
    o Your community's perception on the level of government responsible for filling the gap.

Additionally, the Planning, Operational Coordination, and Community Resilience capability assessments are preceded by capability review questions and the entire SPR assessment is followed by SPR post assessment questions.

Figure 3-1: The SPR Assessment Process

Figure 3-1 shows the sequence of steps and actions required to complete an SPR assessment. The actions are the conceptual and procedural activities you complete to make the best entry in the URT. There are a total of seven actions you complete for each capability—two in Step 1 and five in Step 2. The URT allows you to complete these actions in any order. Three

capabilities begin with review questions, and the entire assessment is followed by a series of post assessment questions.

The SPR assessment is entered into the URT through a series of worksheets, one for each core capability. As with the THIRA Step 4 worksheets, you reach the SPR assessment worksheets through the **Navigation and Progress** worksheet. To reach the worksheets:

— Locate the **SPR Assessment** button for the capability you want to assess.

— Click on the **SPR Assessment** button (red outline in Figure 3-2).

Figure 3-2: Access the SPR Assessment from the Navigation and Progress Worksheet

SECTION 3 STEPS AND ACTIONS—COMPLETING THE SPR

The actions required to complete an SPR assessment are explained below. Since three capabilities begin with a series of review questions, we begin with a discussion of the purpose of the review questions and the reason they are paired with certain capabilities. This is followed by a description of the actions required in Steps 1 and 2. Each action description contains information on how to best answer a question (things to consider) and the procedure used in the URT to make your selection. The action descriptions are followed by an explanation of the post-assessment questions.

Capability Review Questions

The 2014 URT introduces review questions in three capabilities: Planning, Operational Coordination, and Community Resilience. Those requirements are now reported through the URT, as follows:

- The Planning capability review questions are required under the Homeland Security Grant Program and Emergency Management Performance Grant FOAs and were previously reported to FEMA using a Plan Analysis Tool. Information on completing the Planning capability review questions is at Appendix B.
- Homeland Security Presidential Directive (HSPD)-5 required Federal departments and agencies to make adoption of the NIMS by state, tribal, and local organizations a condition for Federal preparedness assistance through grants, contracts, or other activities. The Operational Coordination capability review questions help satisfy this requirement that was previously reported through the NIMS Compliance Assistance Support Tool (NIMSCAST). Information on completing the Operational Coordination capability review questions is at Appendix C.
- The Community Resilience capability review questions support FEMA's Individual and Community Preparedness Division (ICPD) research on how best to assist local preparedness activities. There are five questions concerning your community's support of a grassroots campaign to increase individual and community preparedness and resilience—America's PrepareAthon!. Information on completing the Community Resilience capability review questions is in Appendix D.

For the three capabilities, you will answer review questions on the first SPR Assessment worksheet tab and proceed to the standard assessment by clicking on the **Go To Assessment Step 2** button.

SPR Step 1 - Action 1: Rate Internal Capability

Internal capability ratings indicate how close your community currently is to meeting its THIRA capability targets. You rate your community's capability levels in each of the 31 core capabilities by providing ratings, on a 1-to-5 scale, in each of the five POETE solution areas (Planning, Organization, Equipment, Training, and Exercises).

The internal capability ratings consider only capability that comes from inside your community. They cover the whole community; so in addition to your own government's capabilities you should consider the capabilities of individual citizens, the private sector, non-profit organizations, and local governments—as long as those groups lie within your own jurisdiction. Do not consider capabilities that would come from outside your boundaries (for example, through mutual aid), or from higher levels of government (such as federal assistance).

To complete this action, you will need to:

- Consider the resource requirements you identified in Step 4 of the THIRA.
  - A resource gap analysis can be particularly helpful with your ratings in the Organization and Equipment POETE solution areas. Given the resource needs identified in the THIRA, determine which of these resources are currently available within your community. Consider the percentage of needed resources that are available as you select your capability ratings from the five-point scales.
- Consider the different facets of each core capability that will be important in meeting your THIRA target.
  - Each core capability can have multiple aspects that you may need to meet your THIRA targets. For example, within Critical Transportation, your community's ability to evacuate citizens, assess damage to transportation routes, and restore damaged transportation infrastructure may all be important.
  - Discussing the important elements of each core capability with emergency managers and subject-matter experts can be helpful. Appendix A – Capability Assessment Topics to Consider provides a list of the topics that one state considered under each core capability as it completed its 2013 SPR.
- Solicit the expertise of subject-matter experts and local communities on current capability levels.
  - The Engaging Stakeholders section above discusses the importance of doing so in producing an SPR, and identifies techniques that different states have used successfully in the past.

Procedure: Rate Internal Capability

To indicate your rating (see Figure 3-3):

— Review the worksheet title to verify that you are on the right capability worksheet.

— Review your THIRA target to keep in mind the standard you are rating against.

— For the Planning POETE solution area, in the **Rating Internal Capability** column, select the appropriate internal preparedness level from the drop-down list box. Select the level that best represents how close your community is to its preparedness target if only its own internal resources are considered. Do not consider resources from mutual aid or outside your community.

  o If you believe that an internal capability rating does not apply to the core capability and POETE solution area, enter "N/A." For instance, if exercising the Threats and Hazard Identification capability is something you never envision doing, you could rate the capability's exercise solution area as N/A.

  o When you select a preparedness level number from the drop-down menu, the associated text for that number appears below it in the text box.

— Repeat for the other four POETE solution areas.

The meanings of the ratings on the five-point scales differ between POETE solution areas. The ratings associated with the Organization, Equipment, and Training solution areas represent the percentages of internal resources possessed by the community towards reaching their

target levels of capability. Since the scale has five points, each rating represents a range of 20 percentage points from 0 to 100 percent. The ratings associated with the Planning and Exercise solution areas are qualitative, with Planning focused on completing, updating, and exercising plans, and Exercises focused on the conduct and results of exercises (see Table 3-1).

Capability Assessment				
Reset Selection	**Priority**			Add 2013 response to assessment
⦿ High Priority	Relative to the other core capabilities, efforts to build and/or sustain this core capability are of high importance to my jurisdiction's preparedness activities.			
◯ Medium Priority	Relative to the other core capabilities, efforts to build and/or sustain this core capability are of medium importance to my jurisdiction's preparedness activities.			
◯ Low Priority	Relative to the other core capabilities, efforts to build and/or sustain this core capability are of low importance to my jurisdiction's preparedness activities.			
	Rating Internal Capability	**Rating** Internal Capability + Mutual Aid	**Gap Description**	**Recent Advances (optional)**
Planning	3 ▾ Plans/annexes are complete but require update	3 ▾ Plans/annexes are complete but require update	Primary gaps are in availability and hiring of experienced planning personnel and turnover. The tsunami evacuation zones may need to be ▲▼	• Developed IED Working Group and response plan, to include intelligence and information component. • Completed rewrite of the State Strategic Plan. ▲▼

Figure 3-3: Capability Assessment Worksheet – Rating Internal Capability

Solution Area	Rating					
	1	**2**	**3**	**4**	**5**	**Not Applicable**
Planning	No plan/annexes exist	Some plans/annexes exist	Plans/annexes are complete but require update	Plans/annexes are complete and have been updated within 5 years	Plans/annexes are complete, up to date, and verified through either exercises or real world events	Planning is not relevant for this capability
Organization	0-20% of required organization/ personnel exists	21-40% of required organization/ personnel exists	41-60% of required organization/ personnel exists	61-80% of required organization/ personnel exists	81%-100% of required organization/ personnel exists	Organization is not relevant for this capability
Equipment	0-20% of required equipment exists	21-40% of required equipment exists	41-60% of required equipment exists	61-80% of required equipment exists	81%-100% of required equipment exists	Equipment is not relevant for this capability
Training	0-20% of required training exists	21-40% of required training exists	41-60% of required training exists	61-80% of required training exists	81%-100% of required training exists	Training is not relevant for this capability
Exercises	No exercises/real-world demonstration have occurred in the last five years	Exercises/real-world demonstration have occurred many mission critical findings exist	Exercises/real-world demonstration have occurred; few mission critical findings exist	Exercises/real-world demonstration have occurred; some areas for improvement exist	Exercises/real-world demonstration have occurred; no areas for improvement exist	Exercises/real-world demonstration is not relevant for this capability

Table 3-1: Rate Current Capabilities Table

SPR Step 1 - Action 2: Rate Internal + Mutual Aid Capability (optional)

Action 2 is an optional entry in which you consider to what extent the capability level may be increased due to mutual aid compacts and other cooperative agreements. The rating includes your community's own internal capability and capability coming from surrounding communities, but not from higher levels of government (federal aid to states or state aid to communities).

To complete this action, you will need to:

- Account for support coming from outside of your community that you can reasonably expect to receive during an incident and that will help you achieve your THIRA targets.
    - o Include EMAC mission ready packages, private sector resources, and other mutual aid (both formal and informal agreements) that come from outside the community.
    - o Only consider those mutual aid agreements that pull resources from outside of your jurisdiction (e.g., if your community is a state, do not consider county-to-county mutual aid agreements within your state).
    - o Do not consider mutual aid that will not help you meet your capability target including aid that will not arrive within the timeframe of your target (e.g., if you need SAR teams on site within 2 hours to meet your target and teams A and B will take 6 hours to arrive, do not count them as mutual aid).

Procedure: Rate Internal + Mutual Aid Capability

To indicate your rating (see Figure 3-4):

— For the Planning POETE solution area, in the **Rating (optional) Internal Capability + Mutual Aid** column, select the appropriate preparedness level from the drop-down list box to indicate how close your community is to its preparedness target if both internal resources and those from mutual aid or outside your community are considered.

— Repeat for the other four POETE solution areas.

In some cases, mutual aid may not make sense for a POETE element or a core capability; or if it does make sense, it may not change your score. Use the following rules as you complete your rating:

- If mutual aid does not apply to the core capability and POETE solution area you are rating, enter "N/A."
- If mutual aid could add capability, but your community either does not expect to receive mutual aid or does not expect enough to increase your rating, enter the same rating as in internal capability.
- If you do expect to receive enough mutual aid to increase your rating, enter a higher rating for internal capability + mutual aid than you did for internal capability alone.

External support can only increase your capability levels; the assessed rating should never decrease when mutual aid is considered.

Figure 3-4: Capability Assessment Worksheet – Rating Internal Capability + Mutual Aid

SPR Step 2 – Action 1: Priority Statement

The SPR's priority ratings indicate the relative importance of each core capability to your community. You rate each core capability as high, medium, or low priority, depending on the frequency with which your community uses it and the impact it has on your community's success.

To complete this action, you will need to:

- Consider the frequency with which your community uses each core capability, the extent to which sub-jurisdictions cite the core capability as high priority, and the impact each core capability has on ensuring successful operations.
  - o Classification aids such as Table 3-2 can help you select the appropriate priority for each core capability. Mark where capabilities fall across the high, medium, and low priority classes and select the priority receiving the most marks. You may want to add additional considerations to the table for your community.
  - o Priority ratings should not reflect your jurisdiction's current capability levels.
  - o Priority ratings should indicate relative differences between core capabilities (i.e., "low priority" does not indicate that the core capability is unimportant).
  - o Do not rate every capability at the same priority.

Core Capability	High Priority Considerations			Medium Priority Considerations			Low Priority Considerations		
	Routinely used	Many sub-jurisdictions cite it as a high priority	High impact on your jurisdiction's security or resilience	Used some of the time	Some sub-jurisdictions cite it as a high priority	Medium impact on your jurisdiction's security or resilience	Infrequently used	Few sub-jurisdictions cite it as a high priority	Less impact on your jurisdiction's security or resilience
Core Capability #1				X		X		X	
Core Capability #2	X	X				X			
Core Capability #3	X	X	X						
Core Capability #4						X	X	X	
Core Capability #5	X		X		X				

Table 3-2: An Example Priority Classification Aid Using Three Considerations

Procedure: Enter Priority Statement

To indicate your capability priority (see Figure 3-5):

— Find the priority statement that best describes your community's capability priority.

— Click the radio button to the left of the statement.

   o You can clear your Priority statement selection by clicking on **Reset Selection** located above the radio buttons.

Figure 3-5: Capability Assessment Worksheet – Priority

SPR Step 2 – Action 2: Gap Descriptions

In cases where your community is less than fully capable of meeting its THIRA targets, the SPR requires you to indicate what you need in order to reach the target. There are two ways of doing so (see Figure 3-6):

1. Use the gap description checkboxes to specify the functional areas where your community's primary capability gaps fall, and
2. Use the gap description text boxes to optionally enter a narrative description of what it would take to reach your THIRA target.

The gap description checkboxes are new in 2014 and are required for any POETE solution area where the rating is less than fully capable (5). A text box entry is optional in 2014.

To complete this action, you will need to:

- Consider how your community's primary capability gaps fall into various facets of each core capability.
  - Information on the core capabilities, including whole community roles and responsibilities and critical tasks, can help with this—see the National Planning Frameworks.
- Provide specific information on what it would take to fill capability gaps.
  - The more detailed your gap descriptions, the more useful they will be in helping you to inform strategies, investment justifications, and other preparedness activities.
  - Instead of stating that your community needs additional funding, explain what the community would accomplish with the funding.

Procedure: Enter Capability Gap Description

To enter a capability gap description (see Figure 3-6):

— If your assessment of the Planning POETE solution area is less than fully capable (5), use the functional area checkboxes to indicate the functional area(s) where the Planning gaps fall.

— Optionally, use the **Gap Description (optional)** text box to specify the Planning improvements your community requires to reach your capability target.

— Repeat Action 2 for the Organization, Equipment, Training, and Exercise POETE solution areas.

  - If you need to clear the checkboxes and start over, click the **Reset Selection** button located above the checkboxes.

Table 3-3 provides some gap description examples from the 2013 SPR assessment for the Infrastructure Systems capability.

Figure 3-6: Capability Assessment Worksheet – Gap Description Text Box and Functional Area Checkboxes (planning shown)

POETE Element	Infrastructure Systems Gap Descriptions
Planning	• Not all jurisdictions have a Post-Disaster Redevelopment Plan. • We need to collaborate more closely with the private sector to refine the capability target. • We need additional planning across all sectors to address backup needs during loss of cyber and/or power connectivity. • Additional planning in resiliency is needed to harden information systems from a sophisticated cyber-attack.
Organization	• Need to expand the Emergency Liaison Officer program beyond the energy sector to include all critical lifeline utilities. • Infrastructure sectors lack enough liaisons to feed information to mobile and central command centers.
Equipment	• Additional MOUs are needed to ensure that the equipment needed for response is at the appropriate location to restore vital infrastructure systems. • Need to develop a portable generator database that can be kept up to date easily and efficiently.
Training	• Additional training is needed in the public and private sectors concerning the activities necessary to reconstitute specific systems. • More infrastructure damage assessment training is needed. • We need to identify and/or develop subject matter experts.
Exercises	• We need to diversify exercise-based scenarios to include additional sector specific critical infrastructure partners. • We need to develop and conduct rapid assessment exercises.

Table 3-3: Gap Description Examples for Infrastructure Systems

SPR Step 2 – Action 3: Recent Advances

Action 3 is an optional entry, but could be important in documenting the progress you have made in increasing your community's preparedness over the last year.

To complete this action, you will need to:

- Document the progress you have made in increasing your community's preparedness:
  - o   Why a capability rating is higher this year than previous SPRs.
  - o   Why a capability, although rated the same, nonetheless achieved improvement of note.
- Consider the following examples:
  - o   Success stories and initiatives that increased your capability rating.
  - o   Whole community coordination processes that were successful.
  - o   A case study on a successful public-private partnership.
  - o   A useful vignette or case study that you believe merits potential highlight in the National Preparedness Report to the President.

Procedure: Enter Recent Advances (optional)

To enter recent advances (see Figure 3-7):

— Click in the **Recent Advances (optional)** text box and enter success stories or ongoing initiatives that indicate progress in your preparedness activities.

— Repeat Action 3 for the Organization, Equipment, Training, and Exercise POETE solution areas.

Entries should be specific to the capability you are rating.

Figure 3-7: Capability Assessment Worksheet – Recent Advances

SPR Step 2 – Action 4: Assessment Corroboration

In Action 4 you indicate whether the capability assessment you just completed was informed by performance you observed during an exercise and/or real-world incident or event, or not based on either of these activities. Assessments informed by these observations help validate self-assessed capability ratings.

To complete this action, you will need to:

- Base your entry on the following considerations:
  - The entry should be independent of the capability rating itself (e.g., regardless of whether a 1 or a 5 rating).
  - The exercise and/or event should involve activity that is a considerable portion of the capability and significantly contributed to your community's capability rating (e.g., a full-scale exercise of the three state-designated search and rescue teams).

Procedure: Enter Assessment Corroboration

To make the assessment corroboration entry (see Figure 3-8):

— Determine the corroboration statement that, in your opinion, best describes whether your community's assessment was informed by performance during an exercise and/or real-world incident or event.

— Click the appropriate checkbox.

  - You may select both the **performance during an exercise** and **performance during a real-world incident or event** checkboxes.
  - Clicking on the **not informed by performance** checkbox will deselect the other two checkboxes.
  - You can clear your selection by clicking on the **Reset Selection** button.

— If you select one or both of the **performance during an exercise** and **performance during a real-world incident or event** checkboxes, enter the name of the exercise and/or event in the text box that appears to the right.

Figure 3-8: Assessment Corroboration Checkboxes

SPR Step 2 – Action 5: Responsibility for Filling Gap

Indicate your perception on who is responsible for filling the gap in Action 5. Your entry informs all levels of government on your plan to fill capability gaps and your reliance on higher levels of government. Your selection should be based on how you see the capability

maturing in the near future. Note that your entry does NOT indicate that the federal government accepts these assignations.

To complete this action, you will need to:

• Select one of the four responses characterizing who you perceive to be responsible for a capability gap, if your assessment was less than fully capable (5).
   o Use the "there is no gap for this capability" response only when each POETE is fully capable.
• Base your entry on the following considerations:
   o Coordinate with SMEs and organization leads to get their perception on how much your community will rely on operational assets from higher levels of government.
   o Be forward-looking; think about your community's prospects for filling gaps in the future.
   o Use data sources that identify your community's perception of anticipated reliance on higher levels of government and future projects to build this capability (e.g., budgetary forecasts, strategies, anticipated grant applications and funding, and plans for sustaining and building capability).

Procedure: Enter Responsibility for Filling Gap

To indicate who is responsible for filling a capability gap (see Figure 3-9):

— Determine the gap responsibility statement that, in your opinion, best describes your community's approach to closing its capability gaps in the future.

— Click the radio button to the left of the statement.

   o You can clear your radio button selection by clicking on the **Reset Selection** button.

Figure 3-9: Indicate Gap Responsibility and Enter Journal Notes

The URT contains a **Journal Notes/Comments** text box at the bottom of each capability assessment page to capture any information that you wish to keep concerning the SPR assessment. Examples include POCs that were consulted, internal deliberations, rationale for

decisions, etc. This is not part of the formal SPR submission, but is intended to help you maintain a consistent approach from year to year and maintain a log of your efforts.

Once you complete the capability assessment, click the **Go to THIRA** button to proceed to the **THIRA Step 4 – Apply the Results** worksheet for the capability, or click **Return to Navigation** to go back to the **Navigation and Progress** worksheet and enter assessments for other capabilities.

SPR Post-Assessment Questions

The **Navigation and Progress** worksheet provides an **SPR Post-assessment Questions**>> button to access eight questions about your community's assessment process and preparedness trends. The SPR post-assessment includes questions on:

- Governmental department and agency participation
- Non-governmental organizations (NGOs) stakeholder participation
- The three capabilities you've made the most progress in
- The three capabilities in which current capability is most in danger of decreasing
- Key training and education course requirements that will assist you
- Multi-jurisdictional collaboration

You must fully answer all questions on this worksheet that are not listed as optional for this section to be completed.

To complete this action, you will need to:
- Consider using journal notes from each capability assessment worksheet to keep track of the departments, agencies, and individuals that participate in your community's assessment.   - When identifying those capabilities that made significant progress or are in danger of decline, consider: - Recent or expected changes to capability levels and resources.   - Growth in or shrinking of funding.   - Growth in or shrinking of full and/or part-time staffs, augmentees, and volunteers.   - Recent or expected change to the availability of mutual aid within the community or community to community.   - Increased risk or demand (i.e., in response to weather forecasts, topography, and/or changing demographics).   - Consider the appropriate timeframe for your responses: - The timeframe for capabilities that made significant progress is the prior year.   - The timeframe for capabilities that are in danger of decline is the coming year.

Procedure: Answer SPR Post-Assessment Questions

To answer these questions:

— From the **Navigation and Progress** worksheet, click on the **SPR Post-assessment Questions**>> button.

— For questions 1 and 2, place a number in the **Number Participating** column for the type of department, agency, or organization participating in the assessment (see Figure 3-10).

   o If the department, agency, or organization is not listed, you can add it to the bottom of the far left column. If no departments, agencies, or organizations participated in the assessment, click the checkbox at the bottom of the table.

1. Which of the following types of governmental departments and agencies participated in the SPR process, and how many departments/agencies of each type participated?									
	Number Participating								
Department / Agency	**Federal**	**State**	**Territory**	**County**	**UASI**	**Other City**	**Tribal**	**Other (specify)**	**Other (specify)**
Emergency Management / Homeland Security									
Fusion Center									
Law Enforcement / Public Safety									
Fire / EMS									
Public Health									
Historic / Cultural Resources									
Environment									
Transportation									
Agriculture									
Executive Branch									
Other (specify)									
Other (specify)									
Other (specify)									
Other (specify)									
Other (specify)									
Other (specify)									
Other (specify)									
Not Applicable ☐									

Figure 3-10: SPR Post-assessment Question #1

— Question 3 is optional and allows you to list individual departments, agencies, NGOs, or jurisdictions that participated in the SPR process.

— For question 4, select three of the 31 core capability checkboxes to indicate the core capabilities in which your community has made the most progress this year.

— For question 5, select three of the 31 core capability checkboxes to indicate the core capabilities that are in the greatest danger of decreasing in the next year.

— For question 6, list three key training and education requirements that will assist you in building and sustaining core capabilities.

— For question 7, identify any additional recent promising practices or accomplishments specific to multi-jurisdictional collaboration.

— If you represent a UASI or tribe, select **Urban Area** or **Other** from the dropdown box in the **Type** area for question 8. This will credit you with completing question 8 (see Figure 3-11).

— If you represent a state or territory, select **State/Territory** from the dropdown box in the **Type** area for question 8. Answers to the Senior Advisory Committee questions are selected through a series of dropdown boxes and checkboxes in the **Charter** and **SAC Point of Contact** areas. You must complete all areas to receive credit for completing question 8.

Once you have completed the SPR post-assessment questions, check the **Navigation and Progress** worksheet to ensure that all SPR steps indicate green or white and your overall SPR progress indicates 100 percent. If both your THIRA and SPR progress indicate 100 percent, you have completed the 2014 assessment. See the Submitting Your Data section for instructions on sending your data to FEMA.

Jurisdiction		
Instructions: Select your jurisdiction type.		
Type	[dropdown]	
Senior Advisory Committee		
Instructions: Establishing a Senior Advisory Committee (SAC) is a requirement of States and Territories in the 2014 HSGP Funding Opportunity Announcement (FOA). The following survey questions capture the required elements of a SAC. Please complete this brief survey below to provide information on these required elements.		
Charter	Does your Senior Advisory Committee (SAC) have a charter to direct the governance of your State Homeland Security Program (SHSP) or Urban Area Security Initiative (UASI) program?	[dropdown]
	Does your SAC charter address the following? (Select all that apply.) ☐ Key governance processes ☐ SAC composition ☐ How existing governance bodies will be leveraged by the SAC ☐ The frequency at which the SAC will meet ☐ How the SAC is informed by the State's THIRA and SPR data reflecting capability gaps ☐ The approach to address gaps in core capabilities ☐ How decisions on programmatic priorities funded by SHSP and UASI are made ☐ How decisions on programmatic priorities funded by SHSP and UASI will be documented and shared with members and other stakeholders ☐ Roles and responsibilities for financial decision making and meeting administrative requirements	
	Has your SAC charter been made available publicly?	[dropdown]
SAC Point of Contact	Name: Email: Phone number:	

Figure 3-11: SPR Post-assessment Question #8

Section 4: ADVANCED FUNCTIONALITY

OBJECTIVES

In this section you will learn how to:

- Import your 2013 URT data into the 2014 URT and add the data to your assessment
- Create a workbook of core capability pages to distribute to stakeholders and contributors
- Import multiple stakeholder responses into the 2014 URT and view the results
- View your community's capability ratings data in table and graph form
- View a heat map of your community's capability ratings data
- Generate a Microsoft Word THIRA or SPR report

KEY TERMS

Capability Ratings Data Worksheet: A standardized display of THIRA and SPR data generated by the URT. The data are provided in table and chart formats.

Contributor: A subject matter expert that provides input to part or all of a community's THIRA-SPR process without filling out an official assessment. The specialized expertise of the contributor may provide the community with detailed information on one or more parts of the assessment.

Microsoft Excel Tab: Each worksheet in a Microsoft Excel workbook has a tab at the bottom portion of the application window. Clicking on the tab makes the worksheet visible and active so that you can work on it.

Sub-jurisdiction: A geographical subdivision of a jurisdiction that provides input on its local threats/hazards and capability levels to its parent jurisdiction. The sub-jurisdiction's inputs can help the parent jurisdiction better understand its preparedness landscape.

Write Word Document: An automatically generated Microsoft Word document that lists THIRA or SPR data for all 31 core capabilities.

SECTION 4 OVERVIEW

This section provides information on the advanced features of the URT that you can use to produce an accurate assessment of your community's preparedness. New for 2014 is the ability to import data from your 2013 URT into this year's URT. Retained from 2013 are features that export select core capability to create a separate THIRA/SPR reporting tool for sub-jurisdictions and contributors, print your THIRA and SPR data for each capability, and view your THIRA and SPR data in table and chart form. You may copy and paste the tables and charts into your own analyses and reports.

IMPORT 2013 RESPONSES

To add your 2013 responses to the 2014 URT, you will follow a two-step process:

1. You first import your responses into the 2014 URT to preview them. Doing this does not enter them as your 2014 responses, but simply allows you to see them as comments in the corresponding cells of your 2014 URT. You can identify these cells by the red triangle that will appear in their upper right corner. When you hover your cursor over these cells, a comment box will appear with your 2013 data.

2. After reviewing your 2013 responses and confirming that you want to reuse them in the 2014 URT, you then add them to your 2014 assessment. To do so, follow the **Add Imported Data to a Cell** procedure below.

Procedure: Import 2013 Responses

To import your 2013 URT data:

— From the **Navigation and Progress** worksheet, click the **Import 2013 Responses**>> command button.

— From the **Import 2013 Responses** worksheet, click the **Import 2013 Responses** button to open the data file dialog box.

— Within the **Select 2013 THIRA/SPR Data File** dialog box, locate the 2013 URT file that you want to import (contact FEMA-SPR@fema.dhs.gov if you need a copy of your 2013 submission) and click the **Open** button.

   o Your screen will flicker as the macro imports your 2013 data. It will take a couple of minutes for the macro to complete, and you may receive the Excel "(Not Responding)" warning.

— Clicking on the **Remove 2013 Responses** button will permanently remove all 2013 response text and comment boxes.

Procedure: Add Imported Data to a Cell

Once you have imported your 2013 data, the worksheet cells related to your 2013 data will have comment boxes. To copy the 2013 data from the comment box to your 2014 assessment:

— Review your 2013 data by hovering the cursor over the appropriate cell.

— Click the **Add 2013 response** button. Check that the cell now contains the data from you 2013 URT.

   o Clicking the **Add 2013 response** button will overwrite any text that you have entered in the cell with the text from the comment box.
   o After importing text from the comment box, you may edit it for your 2014 submission.

OBTAINING STAKEHOLDER INPUT

The URT is a broad capability assessment that examines all 31 core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas. It collects information on hazard profiles and preparedness levels that vary widely from region to region, particularly within large jurisdictions such as states. You will need to work collaboratively with stakeholders to get the information needed to complete an accurate assessment of each community's capabilities. This will likely include both governmental and non-governmental partners, such as the private and nonprofit sectors and faith-based organizations.

The URT allows you to solicit the opinions of different stakeholders by exporting core capability pages (or selected groups of capabilities) to sub-jurisdictions or contributors. Think of the core capability subsets as miniature URT workbooks that you can create to collect information from specific stakeholders. For instance, you may want to create a workbook for a group of subject-matter experts to gain their expertise in the Prevention mission area core capabilities: Forensics and Attribution; Intelligence and Information Sharing; Interdiction and Disruption; and Screening, Search, and Detection. Similarly, you may want to create multiple workbooks with all core capabilities for your sub-jurisdictions to obtain regional input on capability targets, levels, and gaps.

Procedure: Export a Workbook of Core Capability Pages

To create a Microsoft Excel workbook containing only a subset of the core capability pages you plan to assess:

— From the **Navigation and Progress** worksheet, click the **Export Core Capabilities>>** command button.

— Using the table on the **Export Capabilities** worksheet, select the core capabilities you would like to include by clicking on the checkboxes to the right of each capability name. If you have a lot of capabilities to include, click on the **Check All** button and then deselect capabilities you don't want. You can deselect all checkboxes by clicking on the **Clear All** button (see Figure 4-1).

— After you have identified all capabilities, click the **Export Selected Capability Pages** button to generate the new workbook.

— Within the **Save As** dialog box, locate the folder in which to save your document, enter the file name in the dialog box, and click the **Save** button. You must save the file as an Excel Macro-Enabled Workbook (*.xlsm).

   o Clicking **Save** builds the report, one capability at a time. Your screen will flicker as the macro builds the file. It will take a couple of minutes for the macro to complete, and you may receive the Excel "(Not Responding)" warning.

   o You will know that the **Export Selected Capability Pages** macro has completed when a new workbook opens on your desktop showing the **Navigation and Progress** worksheet containing your selected capabilities.

— To leave the **Capability Export** worksheet, click <<**Return to Navigation** command button.

Figure 4-1: Export Selected Core Capability Pages

USING STAKEHOLDER INPUT

The **Export Capabilities** worksheet allows you to solicit input to your SPR from different contributors. Contributors will typically fill out the subset of the SPR that you assigned them, and will send their completed SPRs back to you to inform your community's assessment. In order to make use of their input, it is helpful to view their responses within the same worksheet. The **Import SPR Contributions** worksheet allows you to do so.

You reach the **Import SPR Contributions** worksheet from the **Navigation and Progress** worksheet by clicking on the **Import SPR Contributions** command button. In this worksheet

you can view the numerical ratings provided by sub-jurisdictions and contributors side-by-side. The worksheet contains **Internal Capability Ratings** and **Internal Capability with Mutual Aid Ratings** tables. Each table lists the capability solution areas (POETE) on the vertical axis and the jurisdictions across the top. You can import up to 40 contributor assessments.

Procedure: Import SPR Contributions

To import contributor assessments:

— Place the contributor workbook files in the same folder on your computer. This will be the folder to which you will direct the macro to locate the files. However, do not place the files into the same folder as the URT.

— Click the **Import Contributions** button.

— In the **Select Folder** dialog box, locate the folder where you placed the contributor files and click the **OK** button.

    o **Select Folder** is a standard windows dialog box. Use the navigation pane (leftmost pane) and/or address bar (showing the folder path) to navigate to your folder. Once you find the folder, the file list pane (center pane) will be empty and will show the message "No items match your search." This is normal and you can click the **OK** button.

    o Clicking **OK** executes the macro, which will build columns of contributor data for up to 40 workbook files. Your screen will flicker as the macro builds the columns and extracts the data. It will take a couple of minutes to extract data for all of the core capability solution areas.

— To leave the **Import SPR Contributions** worksheet, click the <<**Return to Navigation** command button.

Internal Capability Ratings	Jurisdiction 1	Jurisdiction 2	Internal Capability with Mutual Aid Ratings	Jurisdiction 1	Jurisdiction 2
Planning			Planning		
Planning	3	5	Planning	4	4
Organization	3	4	Organization	5	3
Equipment	5	5	Equipment	4	3
Training	4	3	Training	5	5
Exercises	3	3	Exercises	5	3
Public Information and Warning			Public Information and Warning		
Planning	3	3	Planning	3	4
Organization	5	3	Organization	5	3
Equipment	3	3	Equipment	4	5
Training	5	3	Training	4	3
Exercises	3	3	Exercises	3	3
Operational Coordination			Operational Coordination		
Planning	5	3	Planning	3	4
Organization	3	5	Organization	3	4
Equipment	4	4	Equipment	3	3
Training	4	4	Training	4	3
Exercises	3	5	Exercises	5	5
Forensics and Attribution			Forensics and Attribution		
Planning	5	5	Planning	5	5
Organization	3	4	Organization	4	3
Equipment	5	3	Equipment	3	4
Training	3	5	Training	4	5
Exercises	4	5	Exercises	4	3
Intelligence and Information Sharing			Intelligence and Information Sharing		
Planning	5	4	Planning	5	3
Organization	4	5	Organization	3	4
Equipment	4	5	Equipment	5	4
Training	5	4	Training	3	4
Exercises	3	3	Exercises	3	4
Interdiction and Disruption			Interdiction and Disruption		
Planning	3	3	Planning	4	3

Figure 4-2: Import SPR Contributions Worksheet

VIEWING DATA

Capability Ratings Data Worksheet

The **Capability Ratings Data** worksheet provides summary tables of SPR ratings for each core capability and associated charts of the ratings for each POETE solution area. This is an easy way to view all SPR data in one place and can help communities perform their own analyses and produce their own reports.

Procedure: View Capability Ratings

To view the **Capability Ratings Data** worksheet:

— From the **Navigation and Progress** worksheet, click the **SPR Data>>** command button.

— Scroll the window to the tables or graphs you want to view.

— To leave the **Capability Ratings Data** worksheet, click the <<**Return to Navigation** command button.

The **Internal Capability Ratings** and **Internal Capability Plus Mutual Aid Ratings** tables (see Figure 4-3) provide a recap of ratings within each core capability solution area and calculate an average rating. If you selected "N/A" for any solution area rating, the average calculation is adjusted to include only solution areas with numeric ratings.

Core Capability	Internal Capability Ratings						
	Planning	Organization	Equipment	Training	Exercises	Count	Average
Planning	3	4	N/A	3	N/A	3	3.33333
Public Information and Warning	3	4	3	3	4	5	3.4
Operational Coordination	3	4	4	3	3	5	3.4
Forensics and Attribution	3	3	4	3	3	5	3.2
Intelligence and Information Sharing	3	4	4	3	3	5	3.4
Interdiction and Disruption	3	4	3	3	3	5	3.2
Screening, Search, and Detection	3	3	3	3	4	5	3.2
Access Control and Identity Verification	3	3	3	3	2	5	2.8
Cybersecurity	2	3	3	3	2	5	2.6
Physical Protective Measures	3	3	3	3	3	5	3
Risk Management for Protection Programs and Activities	3	3	N/A	3	N/A	3	3
Supply Chain Integrity and Security	3	3	3	3	3	5	3
Community Resilience	3	3	N/A	3	N/A	3	3
Long-term Vulnerability Reduction	3	4	N/A	3	N/A	3	3.33333
Risk and Disaster Resilience Assessment	3	4	N/A	4	N/A	3	3.66667
Threats and Hazard Identification	4	4	N/A	3	N/A	3	3.66667
Critical Transportation	3	4	3	3	3	5	3.2
Environmental Response/Health and Safety	4	4	3	3	3	5	3.4
Fatality Management Services	3	3	3	3	3	5	3
Infrastructure Systems	3	3	3	3	3	5	3
Mass Care Services	3	3	3	3	3	5	3
Mass Search and Rescue Operations	3	3	3	3	3	5	3
On-scene Security and Protection	4	4	4	4	3	5	3.8
Operational Communications	3	3	3	3	4	5	3.2
Public and Private Services and Resources	4	3	3	3	3	5	3.2
Public Health and Medical Services	3	4	3	4	3	5	3.4
Situational Assessment	3	4	4	3	3	5	3.4
Economic Recovery	2	3	N/A	3	3	4	2.75
Health and Social Services	3	3	N/A	3	3	4	3
Housing	3	3	N/A	3	3	4	3
Natural and Cultural Resources	2	3	N/A	3	2	4	2.5

Figure 4-3: Capability Rating Table (internal capability rating shown)

— Use care when interpreting capability averages based on solution area values. An average calculation assumes that you are calculating across values representing the same thing. However, the 5-point scale of the SPR differs among solution areas, and it can be misleading to state that the capability average is a 3.33 or 3.4 (as calculated in Figure 4-3).

Below the **Internal Capability Ratings** and **Internal Capability Plus Mutual Aid Ratings** tables are a series of bar charts for each solution area (POETE) and a bar chart for solution area

averages. Internal and mutual aid ratings for each core capability are represented by two bars. The blue bar represents the internal capability rating, and the red bar (extending beyond the blue bar) represents the additional capability coming from mutual aid, if any (see Figure 4-4).

Figure 4-4: Capability Rating Chart (average ratings shown)

— You may copy and paste the data and charts found in the **Capability Ratings Data** worksheet to your own analyses and reports.

Heat Map Worksheet

The **Heat Map** worksheet provides two tables. The first table is a color coded matrix of core capability solution area ratings for your internal capability and mutual aid assessments. The core capabilities are listed on the vertical axis in mission area order, and solution areas are listed across the horizontal axis by POETE order. The second table is a color coded matrix

indicating the functional areas that you identified as gaps in each capability. The cells in both tables are color coded to correspond to your POETE solution area ratings.

Procedure: View Heat Map

To view the **Heat Map** tables:

— From the **Navigation and Progress** worksheet, click the **SPR Heat Map**>> command button.
— Scroll the window to the table you want to view.
  o For the Capability Rating Heat Map, a numeric value and color code is provided for each capability solution area rating (see Figure 4-5).

Legend:
- 5: dark green
- 4: light green
- 3: yellow
- 2: orange
- 1: red
- N/A or no response: white

<< Return to Navigation

Core Capability	Internal Capability					Internal Capability with Mutual Aid				
	Planning	Organization	Equipment	Training	Exercises	Planning	Organization	Equipment	Training	Exercises
Planning	3	4		3		3	5		4	
Public Information and Warning	3	4	3	3	4	4	5	4	3	4
Operational Coordination	3	4	4	3	3	3	4	4	3	3
Forensics and Attribution	3	3	4	3	3	3	4	4	3	3
Intelligence and Information Sharing	3	4	4	3	3	3	4	5	3	3
Interdiction and Disruption	3	4	3	3	3	3	5	4	3	3
Screening, Search, and Detection	3	3	3	3	4	3	4	4	4	4
Access Control and Identity Verification	3	3	3	3	2	3	3	3	4	2
Cybersecurity	2	3	3	3	2	2	3	3	3	2
Physical Protective Measures	3	3	3	3	3	3	4	4	3	3
Risk Management for Protection Programs and Activities	3	3		3		3	3		3	
Supply Chain Integrity and Security	3	3	3	3	3	3	3	3	3	3
Community Resilience	3	3		3		3	3		4	
Long-term Vulnerability Reduction	3	4		3		3	4		3	
Risk and Disaster Resilience Assessment	3	4		4		3	4		4	
Threats and Hazard Identification	4	4		3		4	4		3	
Critical Transportation	3	4	3	3	3	3	4	4	3	3
Environmental Response/Health and Safety	4	4	3	3	3	4	4	4	3	3
Fatality Management Services	3	3	3	3	3	3	3	4	3	3
Infrastructure Systems	3	3	3	3	3	3	3	4	4	3
Mass Care Services	3	3	3	3	3	3	3	5	3	3
Mass Search and Rescue Operations	3	3	3	3	3	3	4	4	3	3
On-scene Security and Protection	4	4	4	4	3	4	4	5	4	3
Operational Communications	3	3	3	3	4	3	3	3	3	4
Public and Private Services and Resources	4	3	3	3	3	4	3	3	3	3
Public Health and Medical Services	3	4	3	4	3	3	4	4	4	3
Situational Assessment	3	4	4	3	3	3	4	4	3	3
Economic Recovery	2	3		3	3	2	3		3	3
Health and Social Services	3	3		3	3	3	3		3	3
Housing	3	3		3	3	3	3		3	3
Natural and Cultural Resources	2	3		3	2	2	3		3	2

Figure 4-5: Capability Rating Heat Map

o   For the Functional Area Gap Heat Map, an "X" indicates that the capability solution area possesses a functional area gap. The Xs are summed in the far right column, and each capability solution area is color coded to their rating value (see Figure 4-6).

> Legend:
> - Pink shaded core capabilities: High-priority core capabilities.
> - Color-coded cells: Internal capability ratings.
> - X-marks: Functional area is a primary gap within this POETE element.

				Capability Gaps			
Core Capability	Capability Gap Functional Area	Planning	Organization	Equipment	Training	Exercises	Total
Planning	Evaluating and updating plans	X					1
	Including individuals with disabilities or access/functional needs						
	Incorporating risk analyses						
	Integrating different plans						
	Operational planning						
	Pre-incident planning				X		1
	Strategic planning						
	Whole community involvement and coordination					X	1
Public Information and Warning	Alerts and warnings			X		X	2
	Culturally and linguistically appropriate messaging						
	Delivering actionable guidance						
	Developing standard operating procedures for public information						
	Inclusiveness of the entire public						
	New communications tools and technologies						
	Protecting sensitive information						
	Public awareness campaigns						
	Traditional communications mechanisms						
Operatonal Coordination	Allocating and mobilizing resources	X				X	2
	Command, control, and coordination						
	Determining priorities, objectives, strategies						
	Ensuring information flow				X		1
	Ensuring unity of effort				X		1
	Establishing a common operating picture						
	Establishing lines of communication						
	Establishing roles and responsibilities						
	NIMS/ICS compliance				X		1
	Stakeholder engagement						

Figure 4-6: Functional Area Gap Heat Map

— To leave the **Heat Map** worksheet, click the <<**Return to Navigation** command button.

The THIRA-SPR heat maps are useful analysis tools to identify patterns across the capability mission areas and POETE solution areas. Color groupings and the assessment values they represent indicate areas of strength and areas for improvement within the community. Groupings of functional area gaps may indicate investment needs for future preparedness programs and projects.

PRODUCING REPORTS

Write THIRA Data to a Microsoft Word Report

As you progress through the THIRA and SPR steps, you may find it helpful to create a report containing all of your assessment data. The **Write Word Document** worksheet can be used to produce a report of all of your THIRA data (see Figure 4-7).

Procedure: Write THIRA Data

To create a THIRA report:

— From the **Navigation and Progress** worksheet, click the **Write Word Document>>** button.

— On the **Write Word Document** worksheet, click the **Write THIRA to Word** button.

— In the **Save As** dialog box, locate the folder in which to save your document, enter the file name in the dialog box, and click the **Save** button.

　o Clicking **Save** builds the report, one capability at a time. Your screen will flicker as the macro builds the report. It will take a couple of minutes to write out the capabilities.

— To leave **Write Word Document** worksheet, click the **<<Return to Navigation** button.

Mass Care Services Core Capability

Desired Outcomes and Impacts

Threat/Hazard	Desired Outcomess	Impacts
Earthquake	Within 24 hours of the event, be able to shelter 50,000 people	5000 structures destroyed and unable to be occupied
Flood	Within 24 hours of the event, be able to shelter 10,000 people	500 structures destroyed and unable to be occupied
Hurricane / Typhoon	Within 24 hours of the event, be able to shelter 20,000 people	1000 structures destroyed and unable to be occupied

Capability Targets
Within 24 hours of the event, be able to shelter 50,000 people

Resource Requirements: NIMS Tier I Resources

Group	Resource	Type	Number Required
Mass Care	Shelter Management Team	Type I	2
Mass Care	Shelter Management Team	Type II	2
Mass Care	Shelter Management Team	Type IV	5

Resource Requirements: Other Resources

Resource	POETE	Number Required
Blankets and Cots	Equipment	2000

Figure 4-7: THIRA Data Report for Mass Care Services

Write SPR Data to a Microsoft Word Report

The **Write Word Document** worksheet also has a **Write SPR to Word** command button that you can use to produce a report of all of your SPR data (see Figure 4-8).

Procedure: Write SPR Data

To create an SPR report:

— From the **Navigation and Progress** worksheet, click the **Write Word Document>>** button.

— On the **Write Word Document** worksheet, click the **Write SPR to Word** button.

— In the **Save As** dialog box, locate the folder in which to save your document, enter the file name in the dialog box, and click the **Save** button.

   o Clicking **Save** builds the report, one capability at a time. Your screen will flicker as the macro builds the report. It will take several minutes to write out all 31 core capabilities.

— To leave **Write Word Document** worksheet, click the <<**Return to Navigation** button.

SPR

Planning Core Capability

Priority
Medium Priority

Capability Targets
This is the capability target for planning.

Capability Ratings

POETE	Internal Capability Rating	Description	Mutual Aid Capability Rating	Description
Planning	4	Plans/annexes are complete and have been updated within 5 years	4	Plans/annexes are complete and have been updated within 5 years
Organization	4	61-80% of required organization/personnel exists	4	61-80% of required organization/personnel exists
Equipment	3	41-60% of required equipment exists	3	41-60% of required equipment exists
Training	4	61-80% of required training exists	4	61-80% of required training exists
Exercises	3	Exercises/real-world demonstration have occurred; few mission critical findings exist	3	Exercises/real-world demonstration have occurred; few mission critical findings exist

Capability Gaps

POETE	Capability Gaps
Planning	Need to develop or complete functional, hazard-, threat-, or incident-specific annexes Need to better incorporate individuals with access or functional needs into plans
Organization	Not much of a gap here.
Equipment	Not much of a gap here.
Training	Need to implement multi-agency and/or multi-jurisdictional (state/local/tribal) training to ensure stakeholders function from the same information and execute the same processes Need training on critical infrastructure and key resources
Exercises	Need increased focus on large-scale scenarios that identify "breaking points" for capabilities; exercises have been limited to small-scale scenarios Need increased participation from the private sector

Figure 4-8: SPR Data Report for Planning

SUBMITTING YOUR DATA

Before submitting your data to FEMA, check the **Navigation and Progress** worksheet to ensure that all assessment steps are complete and are green or white on the progress table, and that your overall progress indicates 100 percent. If you completed just the THIRA assessment, the **Navigation and Progress** worksheet will contain only the THIRA assessment steps, and all of them should be green or white.

Send the URT file to two places:

1. Your respective FEMA Regional Preparedness Coordinator, and
2. FEMA/NPAD at FEMA-SPR@fema.dhs.gov.

When received, FEMA will acknowledge receipt of your submission via email.

APPENDIX A – CAPABILITY ASSESSMENT TOPICS TO CONSIDER

SPR Step 1- Action 1: Rate Internal Capability discussed the concepts associated with assessing current capability levels and how the assessment will involve consideration of many different and important core capability elements. An initial step in the assessment process is determining which facets of each core capability are important to your community by discussing them with emergency managers, subject-matter experts, and other stakeholders and contributors.

This appendix provides a list of the topics that one state considered under each core capability as it completed its 2013 SPR. You can use the topics below to start discussions with stakeholders and contributors familiar with your community's capabilities, threats, and hazards. The topics may not include all the things you need to consider for each core capability, but they can be a starting point in determining which topics are important to your community and which are not.

Core Capability	Topics to Consider
Operational Coordination	• On-scene operations • Emergency operations center operations • Resource management • Coordination between jurisdictions • Command management • Key executives and officials
Planning	• Integration of planning efforts across levels of government • Integration of planning efforts with private sector, non-profit sector, and community planning efforts • Strategic planning • Emergency operations planning • Continuity of operations planning • Continuity of government planning • Hazard mitigation planning • National Incident Management System and National Response Framework implementation • Exercising and evaluation of plans
Public Information and Warning	• Alert and warning • Emergency public information • Populations with access and functional needs • Public outreach and education
Forensics and Attribution	• Fusion Center activities • Law enforcement forensics and attribution activities • Forensics and attribution training • Computer forensics
Intelligence and Information Sharing	• Fusion Center activities • Privacy, civil rights, and civil liberties • Engaging local information sharing partnerships • Receiving time-sensitive and emergency threat information • Assessing information
Interdiction and Disruption	• Law enforcement interdiction and disruption activities • Investigations and analysis

Core Capability	Topics to Consider
	• Fusion Center activities • Specialized interdiction and disruption teams • Crisis negotiation • Hostage rescue • Hazardous device mitigation • Behavioral assessment • CBRNE response
Screening, Search, and Detection	• Surveillance, search, and detection of chemical and biological agents • Surveillance, search, and detection of nuclear and radiological materials • Fusion Center coordination • Laboratory testing of chemical and biological agents
Access Control and Identity Verification	• Critical infrastructure and key resources protection • Fusion Center coordination • Access control and identity verification systems and procedures
Cybersecurity	• Continuity of operations • Cybersecurity of infrastructure • Deterrence strategies • Surveillance and detection strategies • Disaster recovery • Fusion Center coordination • Coordination with private vendors • Protection against hardware and software theft
Physical Protective Measures	• Physical protection of critical infrastructure and key resources • Risk management tools and activities • Fusion Center coordination • Surveillance, monitoring, and counterintelligence
Risk Management for Protection Programs and Activities	• Risk assessment and analysis • Sharing risk information • Risk mitigation methods • Protective efforts for specific risks • Understanding threats, vulnerabilities, and potential consequences
Supply Chain Integrity and Security	• Risk analysis and risk management for the supply chain • Security processes for supply chain operations • Food and agriculture safety and security • Investigations and emergency response for food and agriculture incidents • Protection against CBRNE threats • Promoting the secure and efficient movement of goods • Verifying that goods are what they are reported to be • Detecting contaminated or prohibited goods • Protecting critical supply chain nodes • Guiding emergency operations of retail, wholesale, and processing operations for food during disasters • Disposing of contaminated food products and diseased crops • Surveillance of food and agriculture facilities • Coordinating, managing, and disseminating public

Core Capability	Topics to Consider
	information regarding food and agricultural safety • Responder safety and health during food and agricultural incidents
Threats and Hazard Identification	• Analyzing vulnerabilities and impacts • Impacts on children; individuals with disabilities, access, and functional needs; and household pets and service animals
Community Resilience	• Establishing resiliency goals • Assessing resiliency • Risk management • Whole community participation • Citizen Corps Councils • Citizen preparedness • Private sector preparedness
Long-term Vulnerability Reduction	• Strategic planning • Use of insurance • Construction codes and standards • Zoning ordinances • Retrofitting buildings for hazard resistance • Acquisition and relocation or disassembly of structures
Risk and Disaster Resilience Assessment	• Hazard mitigation planning • THIRA development • Capabilities assessment • Inclusion of people with disabilities, access, and functional needs
Critical Transportation	• Assessing damage to transportation infrastructure • Developing alternative transportation solutions • Restoration and recovery of transportation systems and infrastructure • Transportation for populations with access and functional needs • Transportation of contaminated or infectious persons • Transportation of donated goods and volunteers • Evacuation • Critical transportation response • Inclusion of at-risk individuals and groups • Traffic control • Medical transportation • Animal transport • Pre-positioning and readiness of transportation resources • Delivery of response resources
Environmental Response/ Health and Safety	• Potable water supply/waste water management • Solid waste and debris management • Hazardous materials response and mitigation • Disease vector/infection control • Food and agricultural safety and defense • Food supply protection • Collection and management of environmental data and information • Monitoring and sampling operations • Exposure monitoring • Personal protective equipment

Core Capability	Topics to Consider
	• Psychological support • Personnel accountability • Engaging local private and public partners • Crisis and emergency risk communication • Laboratory services
Fatality Management Services	• Surge operation personnel and resources • Morgue operations (storage, bags, and protective equipment) • Victim identification and data management • Personal effects recovery • Family assistance centers • DMORT teams • Critical incident stress management • Public and private partnerships • WMD/hazardous materials detection
Infrastructure Systems	• Repair and restoration of water/wastewater systems • Repair and restoration of services (gas, electric, phone, etc.) • Repair and restoration of transportation systems • Repair and restoration of information systems • Disruptions of water and services • Debris removal, heavy equipment • Identification of contractors/pre-negotiated service contracts • Site access and security • Incident management support • Primary and supporting agency support • Damage assessment response teams • Structural damage assessment • Provisions to avoid redundant, counterproductive, or unauthorized use of response and recovery resources
Mass Care Services	• Shelter locations and capacity • General population shelters/sheltering companion animals • Access and functional needs populations • Intake and assessment operations • Feeding operations • Establishing and conducting bulk distribution operations • Shelter communications • Engaging public and private agencies • Childcare services • Closing shelters
Mass Search and Rescue Operations	• Structural collapse search and rescue operations • Inland/wilderness search and rescue operations • Mountain search and rescue operations • Aeronautical search and rescue operations • Trapped victim operations • Search and rescue medical assistance • Management of search and rescue volunteers • Canine search and rescue procedures and capability • Personal protective equipment/gear • Site assessment for hazardous materials/environments • Animal rescue
On-scene Security and	• Crowd control operations

Core Capability	Topics to Consider
Protection	• Evacuation and traffic control operations • Explosive device response operations • Interoperable communications • Fusion Center coordination • Site assessment for hazardous materials/decontamination • Mobile arrest, processing and booking sites • Quarantines and medical points of distribution • Relocation of incarcerated persons
Operational Communications	• Progress on the Interoperability Continuum • Progress in meeting the narrowbanding mandate • Integration with regional and national disaster networks • Identifying and overcoming communications shortfalls • Establishing and maintaining a common operating picture • Public safety answering points (PSAP)—security and functionality/alternate methods of service • Accessibility to individuals with communication disabilities • Redundancy/diversity/telecommunications service priority • Communications Unit—staffing and equipment • Amateur Radio Emergency Services
Public and Private Services and Resources	• Region-wide or interstate fire mutual aid agreements and protocols • Specialized firefighting equipment • Critical resource logistics and distribution plans • Points of distribution plans and procedures, reception and staging areas • Warehousing and rapid purchasing methods • Call center operations • Coordination with community-based and faith-based organizations • Volunteer and donations management • Fire education and life safety • Hazardous materials and CBRNE awareness
Public Health and Medical Services	• Emergency Medical Services/emergency triage capacity • Hospital and health care surge capability • Alternate care facilities • Provider identification, access control, and security • Identifying and tracking health and medical resources • Interoperable communications with Incident Command • Pharmaceutical distributors and supply management • Mass prophylaxis capability and procedures, vaccinations, PPE, and responder prophylaxis • Local medical stockpiles and private/commercial inventories • Communicable disease outbreak management • Mass casualty incident capability procedures • Hazardous materials and CBRNE awareness • WMD attacks hazard vulnerability assessment/administration of antidotes • Isolation and quarantine capability and procedures • PSAP coordination and redundancy, surge capability • Mutual aid agreements and memoranda of understanding for facilities, supplies, and equipment

Core Capability	Topics to Consider
	• Healthcare system evacuation • Critical incident stress management • Mental health and substance abuse professional availability • Metropolitan Medical Response System management • National Disaster Medical System coordination • Medical Reserve Corps, faith-based organization coordination
Situational Assessment	• Establishing and maintaining a common operating picture • Incident planning, procedures, and communication of field assessments • Resources such as conference lines, secure telephone lines, incident management software, geographic information systems, couriers, and mobile communications • Engaging with public and private agencies
Natural and Cultural Resources	• Protection of natural resources • Protection of cultural resource • Protection of historic properties • Engaging with local and mutual aid partners and state and federal agencies • Environmental protection laws and authorities related to the protection of natural and cultural resource during disaster
Health and Social Services	• Long-term recovery of health and social services • Behavioral health services and recovery • Homeless services and recovery • Aging services and recovery • Developmental disability services and recovery • Interpreters and translation services • Engaging local partners (hospitals, skilled nursing facilities, schools, non-profits, advocacy groups)
Housing	• Availability of long-term housing/determining long-term housing needs • Damage assessment of housing • Local, state, and Federal public assistance for housing • Housing for access and functional needs populations • Land use codes and housing-related laws
Economic Recovery	• Local and state continuity of operations and business continuity plans • Economic revitalization, community development plans, and disaster assistance funds • Employment assistance for disaster victims and workforce development systems • Assistance to businesses impacted by the disaster • Engaging private sector partners • Pre-disaster mitigation and preparedness activities

APPENDIX B – PLANNING REVIEW QUESTIONS

The Planning capability review questions satisfy a requirement under the Homeland Security Grant Program and Emergency Management Performance Grant FOAs. The FOAs say that: "State grantees shall develop, maintain, or revise as necessary, jurisdiction-wide, all threats and hazards EOPs consistent with CPG 101 v2, which serves as the foundation for State, local, Tribal, and territory emergency planning… Grantees will use the SPR to report EOP compliance with CPG 101 v2."

To satisfy this requirement, the Planning capability assessment has two parts. The first part consists of six emergency operations plan (EOP) review questions, and the second part is the SPR assessment. The review questions are self-assessment questions that track development of your community's EOP and the degree to which your EOP addresses CPG 101 v2 criteria for effective and efficient plans.

Answers to the development (CPG 101 v2, pages 4-1 to 4-25) and criteria questions (CPG 101 v2, pages 4-17 to 4-18) are selected through a series of **Current Status** dropdown boxes and checkboxes in the following areas:

1. Approval
2. Whole Community
3. Compliance Criteria
4. EOP Training
5. EOP Evaluation
6. EOP Revision

Procedure: Answer Planning (Part 1: CPG 101, Version 2.0) Questions

— From the **Navigation and Progress** worksheet, click the **SPR Assessment** button for the **Planning** capability

  o This takes you to the **Part 1: CPG 101, Version 2.0** worksheet, which contains the review questions and three navigation buttons.

— If you want to go to the SPR assessment worksheet, click the **Go to Assessment Step 2** button.

— Enter the name of your community's EOP in the **Emergency Operations Plan (EOP) Name** text box (see Figure B-1).

— For the Approval question, select the best answer in the **Current Status** dropdown box and, if approved, enter the date in the **Approval Date** text box (date format is month/day/year, e.g., 3/24/2013).

— For the Whole Community, EOP Training, and EOP Revision questions, select the best answer in each **Current Status** dropdown box.

— For the Compliance Criteria question, select the checkbox or checkboxes that correspond to the criteria addressed in your EOP base plan.

— For the EOP Evaluation question, select the checkbox or checkboxes that best represent the evaluation of your EOP effectiveness.

     o You may select both the **exercise** and **real-world event** checkboxes.

     o Clicking on the **state has not evaluated the effectiveness** checkbox will deselect the other two checkboxes.

A text box for **Journal Notes/Comments** is at the bottom of the worksheet. Use of the text box is optional, but may help you keep track of the departments, agencies, or people who helped you answer the planning review questions.

Once you have answered the EOP development questions, click on the **Go to Assessment Step 2** button to proceed to the second part of the Planning capability assessment or the **Return to Navigation** button to return to the **Navigation and Progress** worksheet. If you want to proceed to THIRA Step 4 for the Planning capability, click the **Go to THIRA** button.

Emergency Operations Plan (EOP) Name			

CPG 101 Criteria			
		Current Status	**Completion Date**
Approval	Has the EOP been aligned with CPG 101 v2 and approved by the appropriate state official?	⌄	
Whole Community	Was the whole community involved in the development of the base plan? *Note: The whole community includes, but is not limited to, those non-governmental organizations beyond traditional engagement, groups representing those with functional and access needs, youth and children, and the private sector.*	**Current Status** ⌄	
Compliance Criteria	CPG 101 v2 outlines the four standard criteria that State should incorporate in their base plan in order to ensure the effectiveness and efficiency of emergency operation planning. Please select the applicable criteria that are addressed in the EOP. ☐ Adequacy: a plan is adequate if the scope and concept of planned operations identify and address critical tasks effectively and the plan's assumptions are valid, reasonable, and comply with guidance. ☐ Feasibility: a plan is feasible if the organization can accomplish the assigned mission and critical tasks by using available resources with the time contemplated by the plan. The organization allocates available resources to tasks and tracks the resources by status (e.g., assigned, out of service). ☐ Acceptability: a plan is acceptable if it meets the requirements driven by a threat or incident, meets decision maker and public cost and time limitations, and is consistent with the law. ☐ Completeness: a plan is complete if it incorporates all tasks to be accomplished; includes all required capabilities; integrates the needs of the general population, children of all ages, individuals with disabilities and others with access and functional needs, immigrants, individuals with limited English proficient, and diverse racial and ethnic populations; provides a complete picture of the sequence and scope of the planned response operation (i.e., what should happen, when, and at whose direction); makes time estimates for achieving objectives; and identifies success criteria and desired end-state.		
EOP Training	Has the state conducted training on the EOP base plan?	**Current Status** ⌄	
EOP Evaluation	Has the state evaluated the effectiveness of the EOP base plan through exercises or real-world event? ☐ The state has evaluated the effectiveness of the EOP base plan through exercises. ☐ The state has evaluated the effectiveness of the EOP base plan through a real-world event. ☐ The state has not evaluated the effectiveness of the EOP base plan through an exercise or real-world event.		
EOP Revision	Has the state updated the EOP base plan based on corrective actions identified during the training, exercise, or real-world event?	**Current Status** ⌄	

Figure B-1: Planning Review Questions

APPENDIX C – OPERATIONAL COORDINATION REVIEW QUESTIONS

Homeland Security Presidential Directive (HSPD)-5 requires Federal departments and agencies to make adoption of the NIMS by state, tribal, and local organizations a condition for Federal preparedness assistance through grants, contracts, or other activities. The Operational Coordination capability review questions help satisfy this requirement that was previously reported through the NIMS Compliance Assistance Support Tool (NIMSCAST) in 2012 and the Unified Reporting Tool in 2013.

The Operational Coordination capability assessment occurs in two parts. The first part consists of 16 NIMS implementation review questions, and the second part is the standard SPR assessment.

The **Part 1: NIMS Implementation** worksheet is composed of 16 self-assessment questions that report on your community's implementation of the NIMS. Answers to the questions are selected through a series of dropdown boxes, checkboxes, radio buttons, and text boxes in the following areas:

1. Jurisdiction Types
2. NIMS Adoption
3. Plans
4. Mutual Aid
5. NIMS Training
6. Exercises
7. Resource Inventory
8. NIMS Priorities
9. Re-entry Plan
10. Additional Needs

Procedure: Answer Operational Coordination (Part 1: NIMS Implementation) Questions

— From the **Navigation and Progress** worksheet, click the **SPR Assessment** button for the **Operational Coordination** capability

  o This takes you to the **Part 1: NIMS Implementation** worksheet, which contains the review questions and three navigation buttons.

— If you want to go to the SPR assessment worksheet, click the **Go to Assessment Step 2** button.

— For question 1, place a number or "0" in each jurisdiction type (Tribal, Counties, and Cities). If you place a number in "Other," you must identify the jurisdiction type in the text box to the right.

— For the remaining questions, select the best answers for your community by clicking on the "Current Status" and plans dropdown boxes, checkboxes (as appropriate), and the "Yes" or "No" radio buttons.

    o   If you answer "Yes" to questions 5 or 8, provide additional information about your response by selecting the appropriate checkboxes.

— As you answer NIMS questions, the worksheet will calculate a completion percentage (red highlight in Figure C-1). The percentage is calculated by adding the number of NIMS questions answered and dividing by 16.

    o   If you've answered all questions, but the percentage complete indicates below 100%, ensure you've completely answered questions 1, 5, and 8.

A text box for **Journal Notes/Comments** is at the bottom of the worksheet. Use of the text box is optional, but may help you keep track of the departments, agencies, or people who helped you answer the NIMS implementation questions.

Once you have answered the NIMS implementation questions, click on the **Go to Assessment Step 2** button to proceed to the second part of the Operational Coordination capability assessment or the <<**Return to Navigation** button to return to the **Navigation and Progress** worksheet. If you want to proceed to THIRA Step 4 for the Operational Coordination capability, click the **Go to THIRA** button.

Figure C-1: Operational Coordination Review Questions (partial view of worksheet)

APPENDIX D – COMMUNITY RESILIENCE REVIEW QUESTIONS

The Community Resilience capability review questions support FEMA's Individual and Community Preparedness Division (ICPD) research on how best to assist local preparedness activities. The questions concern your community's activities supporting America's PrepareAthon!. America's PrepareAthon! is a grassroots campaign to increase individual and community preparedness and resilience. Its aim is to increase public awareness of emergencies and disasters and promote individual and community action to discuss, train, and practice preparedness and protective actions for relevant local hazards.

The Community Resilience capability assessment occurs in two parts. The first part consists of five review questions, and the second part is the SPR assessment.

The first **Community Resilience** review question is composed of 15 activity checkboxes and an **Other** checkbox that indicate the types of programs or activities your community may have recently undertaken to foster individual and community resilience. The next three questions ask for some details about your program or activity effectiveness, results, and obstacles. The last question asks for ideas on how FEMA can better help foster and sustain effective individual and community resilience.

Procedure: Answer Community Resilience (Part 1: Individual and Community Prepared-ness) Questions

— From the **Navigation and Progress** worksheet, click the **SPR Assessment** button for the **Community Resilience** capability.

  o This takes you to the **Part 1: Individual and Community Preparedness** worksheet, which contains the review questions and three navigation buttons.

— If you want to go to the SPR assessment worksheet, click the **Go to Assessment Step 2>>** button.

— For the first question, select the checkboxes that best indicate the programs and activities that jurisdictions within your community engaged in to foster individual and community resilience (see Figure D-1).

  o If jurisdictions within your community engaged in activities not listed, select the **Other** checkbox and enter the activity in the text box to the right of the checkbox.

— Enter your answers to the remaining questions using the text boxes under each of the questions.

  o There is no practical limit to the number of characters you can enter in these text boxes.

A text box for **Journal Notes/Comments** is at the bottom of the worksheet. Use of the text box is optional, but may help you keep track of the departments, agencies, or people who helped you identify your community's America's PrepareAthon! activities.

Once you have answered the ICPD community resilience questions, click on the **Go to Assessment Step 2 >>** button to proceed to the second part of the Community Resilience capability assessment, or click the **Return to Navigation** button to return to the **Navigation and Progress** worksheet. If you want to proceed to THIRA Step 4 for the Community Resilience capability, click the **Go to THIRA** button.

Figure D-1: Community Resilience Review Questions (partial view of worksheet)

APPENDIX E – NIMS TIER 1 RESOURCE TYPES

Use the table below as a reference to the **NIMS-type Resource** category name, resource name, and type drop-down menu structure found on the THIRA **Resource Requirement** worksheet.

Category Name	Resource Name	Type I	Type II	Type III	Type IV	Type V	Type VI
Animal Health Emergency	Large Animal Rescue Strike Team	X					
	Large Animal Sheltering Team	X	X	X			
	Large Animal Transport Team	X					
	Small Animal Rescue Strike Team	X					
	Small Animal Sheltering Team	X	X	X			
	Small Animal Transport Team	X					
	Incident Management Team Animal Protection	X	X	X			
	Animal Case Manager	X					
	Animal Control Specialist	X					
	Animal Disease Epidemiologist	X					
	Animal Industry Specialist	X					
	Animal Premises Site Manager	X					
	Animal Shelter Manager	X					
	Animal Technician	X					
	Permit specialist	X					
	Risk Assessment Specialist	X					
	Species Specialist	X					
	Vector Control Specialist	X					
	Veterinarian	X					
Emergency Medical Services	Air Ambulance (Fixed-Wing)	X	X	X	X	X	
	Air Ambulance (Rotary-Wing)	X	X	X	X	X	
	Ambulances (Ground)	X	X	X	X		
	Ambulance Strike Team	X	X	X	X		
	Ambulance Task Force	X					
	Emergency Medical Task Force	X					
	Mass Casualty Support Vehicle	X	X	X			
	Multi-Patient Medical Transport Vehicle	X	X	X			
	Advanced Emergency Medical Technician	X					
	Air Medical Transport Manager or Administrator	X					
	Air Medical Transport Mechanic	X					
	Air Medical Transport Paramedic	X					
	Air Medical Transport Physician	X					
	Air Medical Transport Pilot (Rotorcraft)	X					
	Air Medical Transport Registered Nurse	X					
	Ambulance Strike Team / Ambulance Task Force Leader	X					

Table E-1: NIMS Tier 1 Resource Categories, Names, and Types

Category Name	Resource Name	Type I	Type II	Type III	Type IV	Type V	Type VI
Emergency Medical Services (*cont.*)	Emergency Medical Responder	X					
	Emergency Medical Task Force Leader	X					
	Emergency Medical Technician	X					
	Emergency Vehicle Operator	X					
	Emergency Vehicle Operator- Heavy	X					
	EMS Physician	X					
	Medical Supply Coordinator	X					
	Paramedic	X					
Fire and Hazardous Materials	Area Command Team, Firefighting	X					
	Brush Patrol, Firefighting (Type VI Engine)				X		
	Crew Transport (Firefighting Crew)	X	X	X			
	Engine, Fire (Pumper)	X	X	X	X		
	Fire Boat	X	X	X			
	Fire Truck - Aerial (Ladder or Platform)	X	X				
	Foam Tender, Firefighting	X	X				
	Fuel Tender (Gasoline, Diesel, AvGas, aka Gas Tanker)	X	X				
	Hand Crew	X	X	X	X		
	HazMat Entry Team	X	X	X			
	Helicopters, Firefighting	X	X	X	X		
	Helitanker (Firefighting Helicopter)	N/A					
	Incident Management Team, Firefighting	X	X	X	X		
	Interagency Buying Team, Firefighting	X					
	Mobile Communications Unit (Law/Fire)	X	X				
	Portable Pump	X	X	X			
	Strike Team, Engine (Fire)	X	X	X	X		
	U.S. Coast Guard National Strike Force	N/A					
	Water Tender, Firefighting (Tanker)	X	X	X	X		
	Airport Firefighter	X					
	Emergency Vehicle Technician	X					
	Fire Apparatus Driver/Operator	X					
	Fire Inspector	X	X	X			
	Fire Officer I/II (Company/Unit)	X					
	Fire Officer III/IV (Command)	X					
	Firefighter	X	X				
	HazMat Officer	X					
	HazMat Safety Officer	X					
	HazMat Technician	X					
	Plans Examiner	X	X				
	Public Safety Telecommunicator	X	X				
	Wildland Firefighter	X	X				

Table E-1: NIMS Tier 1 Resource Categories, Names, and Types (continued)

Category Name	Resource Name	Type I	Type II	Type III	Type IV	Type V	Type VI
Fire and Hazardous Materials (*cont.*)	Wildland Fire Officer	X	X				
	Wildland/Urban Interface Protection Specialist	X					
Incident management	Airborne Communications Relay Team (Fixed-Wing)	X	X	X	X		
	Airborne Communications Relay (Fixed-Wing) (CAP)	X	X	X	X		
	Airborne Transport Team (Fixed-Wing)	X	X	X	X		
	Communications Support Team (CAP)	X	X	X	X		
	Crisis Incident Stress Management Team	X	X	X			
	Donations Coordinator	X	X	X	X		
	Donations Management Personnel/Team	X	X				
	EOC Finance/Administration Section Chief/Coordinator	X	X	X			
	EOC Management Support Team	X	X	X	X		
	EOC Operations Section Chief	X	X	X			
	EOC Planning Section Chief	X	X	X			
	Evacuation Coordination Team	X	X	X			
	Evacuation Liaison Team (ELT)	X					
	Incident Management Team	X	X	X	X		
	Individual Assistance Disaster Assessment Team	X					
	Individual Assistance Disaster Assessment Team Leader	X	X	X	X		
	Mobile Communications Center (Mobile EOC)	X	X	X	X		
	Mobile Feeding Kitchen (Mobile Field Kitchen)	X	X	X	X		
	Public Assistance Coordinator	X	X	X	X		
	Rapid Needs Assessment Team	X					
	Shelter Management Team (Incident Management)	X	X	X			
	Volunteer Agency Liaison	X	X	X	X		
	Finance/Administration Section Chief			X			
	Incident Commander			X			
	Liaison Officer			X			
	Logistics Section Chief			X			
	Operations Section Chief			X			
	Planning Section Chief			X			
	Public Information Officer			X			
	Safety Officer			X			
Law Enforcement	Bomb Squad/Explosives Team	X	X	X			
	Law Enforcement Aviation-Helicopters-Patrol & Surveillance	X	X	X	X		
	Law Enforcement Observation Aircraft (Fixed-Wing)	X	X				
	Law Enforcement Patrol Team (Strike Team)	X	X	X	X		
	Mobile Field Force Law Enforcement (Crowd Control Teams)	X	X	X			
	Public Safety Dive Team	X	X	X	X		
	SWAT/Tactical Teams	X	X	X	X		

Table E-1: NIMS Tier 1 Resource Categories, Names, and Types (continued)

Category Name	Resource Name	Type I	Type II	Type III	Type IV	Type V	Type VI
Mass Care	Field Kitchen Unit	X	X	X	X		
	Shelter Management Team (Mass Care)	X	X	X	X		
	State Mass Care Coordinator	X	X				
	Shelter Manager	X	X	X			
	Field Kitchen Manager	X					
Medical and Public Health	Ancillary Support Team (Laboratory, Pharmacy, or Radiology Services)	X	X				
	Emergency/Critical Care Team	X	X				
	Environmental Health	X	X				
	Epidemiology (Surveillance and Investigation)	X	X				
	Isolation and Quarantine	X	X				
	Mass Dispensing Consultant Team	X	X				
	Medical/Public Health System Assessment Team	X					
	Mobile Field Medical Team	X	X				
	Palliative Care/Hospice Team	X	X				
	Public Health and Medical Team in a Shelter	X					
	Receiving, Staging, and Storing (RSS) Task Force	X					
	Specialty Services Team	X	X				
	Advanced Practice Registered Nurse	X					
	Assessment Team Leader	X					
	Behavioral Health Specialist, Licensed	X					
	Behavioral Health Specialist, Unlicensed	X					
	Dental Assistant/Hygienist	X					
	Dentist	X					
	Dialysis Technician	X					
	Dietician/Nutritionist	X					
	Environmental Health Generalist	X					
	Epidemiology Interviewer	X					
	Epidemiology Team Leader	X					
	Laboratory Technologist/Technician	X					
	Mass Dispensing Team Leader	X					
	Mass Dispensing, Consultant	X					
	Mass Dispensing, Dispenser	X					
	Mass Dispensing, Operations Team Consultant	X					
	Mass Dispensing, Patient Intake/Line Flow Consultant	X					
	Mass Dispensing, Public Information Consultant	X					
	Mass Dispensing, Vaccinator	X					
	Medical Unit Team Leader	X					
	Patient Care Technician	X					
	Pharmacist	X					

Table E-1: NIMS Tier 1 Resource Categories, Names, and Types (continued)

Category Name	Resource Name	Type I	Type II	Type III	Type IV	Type V	Type VI
Medical and Public Health (cont.)	Pharmacy Technician	X					
	Phlebotomist	X					
	Physician	X					
	Physician Assistant	X					
	Public Health and Medical Support Team Leader in a Shelter	X					
	Public Health Data Entry Staff	X					
	Public Health Disaster Assessor	X					
	Public Health Information Technology Specialist	X					
	Radiologic Technician	X					
	RSS Distribution Leader	X					
	RSS Finance and Administrative Team Lead	X					
	RSS Logistics Team Lead	X					
	RSS Operations Team Lead	X					
	RSS Tactical Communications Leader	X					
	RSS Task Force Leader	X					
	Registered Nurse	X					
	Respiratory Therapist	X					
	Social Worker	X					
	Surgical Technician	X					
Public Works	Aerial Lift - Articulating Boom	X	X	X	X		
	Aerial Lift - Truck Mounted	X	X	X	X		
	Aerial Lift - Telescopic Boom	X	X	X	X		
	Aerial Lift, Self-Propelled, Scissor, Rough Terrain	X	X	X	X		
	Air Compressor	X	X	X	X		
	Air Conditioner/Heater	X	X	X	X		
	Air Curtain Burners (Fire Box-Above Ground, Refractory Walled)	X	X	X	X	X	X
	Air Curtain Burners (Trench Burner, In-Ground)	X	X	X			
	Buses	X	X	X	X		
	Chillers & Air Handlers (500 Ton to 50 Ton)	X	X	X	X	X	
	Concrete Cutter/Multi-Processor for Hydraulic Excavator	X	X	X	X		
	Cranes, All Terrain & Rough Terrain	X	X	X	X		
	Cranes, Crawler (Lattice)	X	X	X			
	Damage Assessment and Repair Team – Sewer Mains	X					
	Damage Assessment and Repair Team – Water Pump Facilities	X					
	Damage Assessment, Repair and Start-Up Team - Water Production Facilities	X					
	Damage Assessment, Repair and Start-Up Team - Wastewater Treatment Facilities	X					
	Electronic Boards, Arrow Boards	X	X	X	X		
	Electronic Boards, Variable Message Signs (VMS)	X	X	X	X		

Table E-1: NIMS Tier 1 Resource Categories, Names, and Types (continued)

Category Name	Resource Name	Type I	Type II	Type III	Type IV	Type V	Type VI
Public Works (*cont.*)	Emergency Management Support Team – Water/Wastewater	X					
	Floodlights	X	X	X			
	Generators	X	X	X	X	X	
	Grader	X	X	X			
	Hydraulic Excavator (Large Mass Excavation 13cy to 3cy buckets)	X	X	X	X		
	Hydraulic Excavator (Medium Mass Excavation 4cy to 1.75cy buckets)	X	X	X	X		
	Hydraulic Excavator (Compact - Short Radius 1.75cy to 0.62cy buckets)	X	X	X	X		
	Hydraulic Excavator Truck Mounted	X	X				
	Road Sweeper	X	X	X	X		
	Scraper, Earth Moving	X	X	X			
	Snow Blower (Chassis Mounted)	X	X	X			
	Snow Blower (Loader Mounted)	X	X	X	X		
	Snow Cat	X	X	X	X		
	Track Dozer	X	X	X	X		
	Track Loader	X	X	X	X		
	Trailer, Equipment Tag-Trailer	X	X	X			
	Trailer, Dump (one type/example only)	X					
	Trailer, Flat Bed Truck (two types/example only)	X	X				
	Trailer, Gooseneck Trailer	X	X	X			
	Trailer, Small Equipment	X	X				
	Truck, Off-Road Dump	X	X	X	X		
	Truck, On-Road Dump	X	X	X	X		
	Truck, Plow	X	X	X	X		
	Truck, Sewer Flusher	X	X	X	X		
	Truck, Tractor Trailer	X	X	X			
	Tug Boat (general)	X	X	X			
	Water Pumps, De-Watering	X	X	X	X		
	Water Pumps, Drinking Water Supply - Auxiliary Pump	X	X	X	X		
	Water Pumps, Water Distribution	X	X	X	X		
	Water Pumps, Wastewater	X	X	X	X		
	Water Truck (example only)	X					
	Wheel Dozer	X	X				
	Wheel Loader Backhoe	X	X	X	X		
	Wheel Loaders (Large 41cy to 8cy)	X	X	X	X		
	Wheel Loaders (Medium 7cy to 3cy)	X	X	X	X		
	Wheel Loaders (Small 7cy to 2cy)	X	X	X			
	Wheel Loaders, Skid Steer (Small)	X	X	X			
	Wheel Loaders, Telescopic Handler	X	X	X	X		
	Wood Chipper	X					
	Wood Tub Grinder	X	X	X	X		

Table E-1: NIMS Tier 1 Resource Categories, Names, and Types (continued)

Category Name	Resource Name	Type I	Type II	Type III	Type IV	Type V	Type VI
Public Works (*cont.*)	Assistant Public Works Director - Logistics	X					
	Assistant Public Works Director - Operations	X					
	Civil/Field Engineer	X					
	Debris Collection Supervisor	X					
	Debris Removal Manager	X					
	Debris Site Supervisor	X					
	Engineering Branch Manager	X					
	Engineering Division Manager	X					
	Equipment Operator	X					
	Public Works Director	X					
	Quality Assurance Personnel	X					
	Structural Engineer	X					
	Utility Systems Reconstruction Manager	X					
	Wastewater Collection Manager	X					
	Wastewater System Manager	X					
	Wastewater Treatment Manager	X					
	Water Distribution Manager	X					
	Water System Manager	X					
	Water Treatment Manager	X					
Search and Rescue	Air Search Team (Fixed-Wing)	X	X	X	X		
	Airborne Reconnaissance (Fixed-Wing)	X	X	X	X		
	Canine SAR Team - Avalanche Snow Air Scent	X	X				
	Canine SAR Team - Disaster Response	X	X	X	X		
	Canine SAR Team - Land Cadaver Air Scent	X	X	X	X	X	
	Canine SAR Team - Water Air Scent	X	X	X	X	X	X
	Canine SAR Team - Wilderness Air Scent	X	X	X	X	X	
	Canine SAR Team - Wilderness Tracking/Trailing	X	X	X	X	X	
	Cave SAR Team	X	X	X	X		
	Collapse SAR Team	X	X	X	X		
	Mine and Tunnel SAR Team	X	X				
	Mountain SAR Team	X	X	X	X		
	Radio Direction Finding Team	X	X	X			
	Swiftwater/Flood SAR Team	X	X	X	X		
	US&R Incident Support Team	X	X				
	US&R Task Forces	X	X				
	Wilderness SAR Team	X	X	X	X		
	Disaster Collapsed Structure Canine Search Manager	X					
	Disaster Collapsed Structure Canine Search Technical Specialist (Advisor)	X					
	Disaster Collapsed Structure Canine Search Technician	X					

Table E-1: NIMS Tier 1 Resource Categories, Names, and Types (continued)

Category Name	Resource Name	Type I	Type II	Type III	Type IV	Type V	Type VI
	Emergency Services Rescue Manager	X					
	Emergency Services Rescue Technician	X					
	Helicopter Search and/or Rescue Crew Chief	X					
	Helicopter Search and/or Rescue Pilot	X					
	Helicopter Search and/or Rescue Technician	X					
	Human Remains Canine Search Manager	X					
	Human Remains Canine Search Technical Specialist (Advisor)	X					
	Human Remains Canine Search Technician	X					
	Logistics Search and/or Rescue Technician	X					
	Medical Search and/or Rescue Technician	X					
	Mountain Search and/or Rescue Manager	X					
	Mountain Search and/or Rescue Technical Specialist (Advisor)	X					
	Mountain Search and/or Rescue Technician	X					
	Mountain Search and/or Rescue Unit Leader	X					
	Structural Collapse Rescue Manager	X					
	Structural Collapse Rescue Technician	X					
	Structural Collapse Search Manager	X					
	Structural Collapse Search Technician	X					
	Swiftwater/Flood Rescue Manager	X					
	Swiftwater/Flood Rescue Technical Specialist (Advisor)	X					
	Swiftwater/Flood Rescue Technician	X					
	Swiftwater/Flood Rescue Technician - Boat Bowman	X					
	Swiftwater/Flood Rescue Technician - Boat Operator	X					
	Swiftwater/Flood Rescue Unit Leader	X					
	Swiftwater/Flood Technician - Animal Rescue	X					
	Water Canine Search Manager	X					
	Water Canine Search Technician	X					
	Wilderness Air Scent Canine Search Manager	X					
	Wilderness Air Scent Canine Search Technician	X					
	Wilderness Search and/or Rescue Manager	X					
	Wilderness Search and/or Rescue Technical Specialist (Advisor)	X					
	Wilderness Search and/or Rescue Technician	X					
	Wilderness Search and/or Rescue Unit Leader	X					
	Helicopter Search and/or Rescue Crew Chief	X					
	Helicopter Search and/or Rescue Pilot	X					
	Helicopter Search and/or Rescue Technician	X					

Table E-1: NIMS Tier 1 Resource Categories, Names, and Types (continued)

APPENDIX F – URT TROUBLESHOOTING

As FEMA's single tool for collecting the THIRA, SPR, and survey data, the URT must operate in many different software environments. While the tool will work trouble free in most of these environments, it uses an application programming language to automate the process of completing THIRA and SPR assessments which may conflict with your Microsoft Office software settings. Since some environments may be less friendly than others, we provide the troubleshooting tips below.

Compatibility with Microsoft Office Security Settings

Microsoft Excel will generate a security warning when opening, for the first time, any file containing code that does not come from a trusted source or file location you have previously designated as trusted. Normally, Microsoft Excel will give you the opportunity to **Enable Macros** or **Enable Content** from the security warning at the top of the screen. However, after downloading and saving an Excel file with macros on your workstation or copying the file for the first time to your workstation, Microsoft Excel may automatically disable macros, giving you no opportunity to enable them.

Problem:

When you open the URT, you receive a security warning that says "Macros have been disabled." When you click on the **Options** button, the security dialog box only provides the option to "Protect from unknown content," rather than allowing you to **Enable Macros** or **Enable Content**.

Procedure: Security Settings Solution

You must save the file again to your workstation to establish the URT as known content for Microsoft Excel. Within the open Excel tool:

— Click **OK** in the **Security Alert** dialog box.

— Click the **File** menu on the tool bar, and click the **Save** or **Save As** command to save the file to your computer.

   o   This procedure saves the file a second time to establish the URT as known content for Excel, allowing you to enable macros the next time you run the URT.

— Click on the **File** menu on the tool bar, and click the **Close** command to close the file.

— **Open** the URT again from the newly saved file location on your workstation.

— Microsoft Excel will generate a security warning again, but this time you will be able to **Enable Macros** or **Enable Content** from the security warning at the top of the screen.

Ensuring Compatibility with Microsoft Office Environments

Each version of Microsoft Office establishes a way for the applications (Excel, Word, and Access) to communicate with each other. This communication is accomplished through reference libraries which provide the mechanisms to share information. However, this also means that earlier versions of Microsoft Office (Office 2007) may not work properly with applications saved using later versions of Microsoft Office (Office 2010 or 2013). For instance, saving the URT in Excel 2013 establishes Office 2013 references, and the URT may not work properly when using Office 2010 or 2007.

Problem:

When using earlier versions of Microsoft Office, the URT displays an error message related to having a "missing" library. This error occurs when URT features that use Microsoft Word (see Write SPR Data to a Microsoft Word Report or Write THIRA Data to a Microsoft Word Report) cannot find the correct reference library they require.

Procedure: Ensuring URT Compatibility with Office Environments

— If you find that you must use a version of Microsoft Office earlier than the URT's saved version, send your URT file to the THIRA/SPR Help Desk at fema-spr@fema.dhs.gov.

— The Help Desk will modify the URT's reference libraries for use with your earlier version of Microsoft Office and send the file back to you.

Displaying the URT on an Overhead Projector

You may find it helpful to display the URT using a projector or large screen display during stakeholder meetings or internal reviews. However, making entries in the URT while the URT is displayed in this manner can lead to text box and font sizing problems. The problem occurs when editing the **Gap Description** and **Recent Advances** text boxes on a capability assessment worksheet. These customized text boxes may not size or display correctly after making an entry and when using an overhead projector. Follow the procedures below to prevent this from happening.

Problem:

When displaying the URT on an overhead projector and editing the **Gap Description** and **Recent Advances** text boxes, the text box and font size change making the screen difficult to read.

Procedure: URT Projection Solution

Follow these procedures to prevent or correct a problem when displaying the URT:

1. Only select one device to display the URT at a time. The text box and font size problem occurs when editing and displaying URT on two devices (e.g., your laptop and projector), typically when using different screen resolutions.

2. If you must display the URT on two devices at the same time, ensure the devices are set to use the same screen resolutions and at their optimal screen resolutions. The text box and font size problem usually occurs when displaying the URT on a low resolution device, such as a projector running at a resolution lower than 1280 X 768.

3. If you encounter the problem, contact the THIRA/SPR Help Desk at FEMA-SPR@fema.dhs.gov or 202-786-9576.