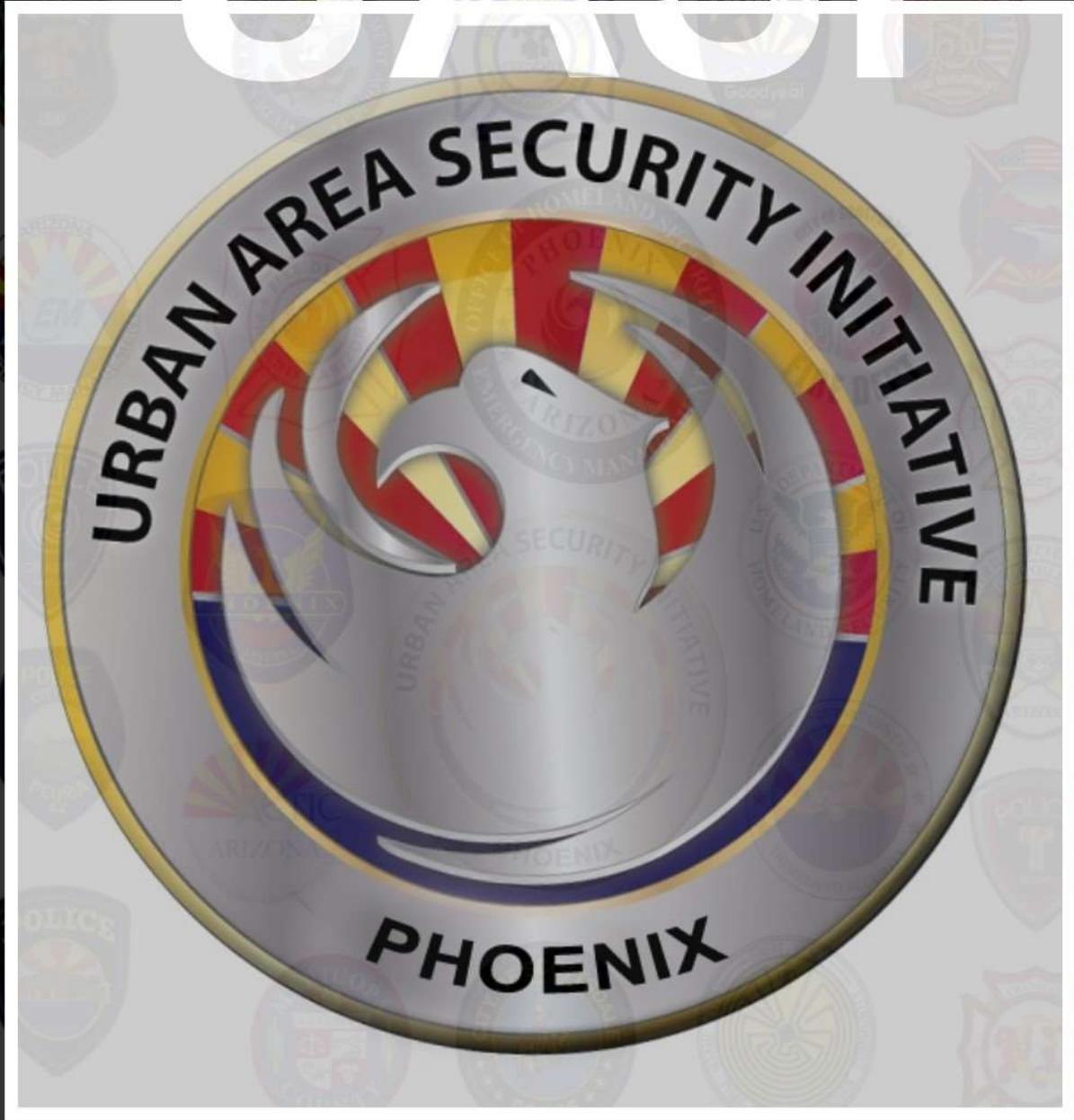


PHOENIX UASI



Annual Funding Guide

2020

Table of Contents

I. Purpose	3
II. Process	3
III. Situation	3
Threats and Concerns	3
Current Threats	3
Emerging Threats	3
Upcoming Major Special Events	4
Anticipated Federal Funding	4
National MSA Ranking	4
Capability Considerations	4
IV. Significant Policies and Changes	4
Federal.....	5
State.....	5
Phoenix UASI.....	5
V. Sustainment and New Investments	5
VI. Priorities	5
Federal Priorities	5
State Priorities and Updates	6
Phoenix UASI Region Priorities	6
Established Regional Priorities.....	6
VII. THIRA/SPR & Capability Gaps	6
VIII. Project Prioritization Method	8
UASI Scoring Matrix Tool	8
IX. Project Identification, Selection, & Funding Process	9

Phoenix UASI Annual Funding Guide

2020

I. Purpose

The UASI Program assists high-threat, high-density Urban Areas in efforts to build, sustain, and deliver the capabilities necessary to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.

The purpose of this document is to inform the Phoenix UASI Region's project identification and development, and prioritization process for the upcoming grant cycle.

II. Process

The contents of this document were developed by the Phoenix UASI at the **Annual State of the UASI** meeting and documented by the UASI Administrator.

III. Situation

This section describes the current circumstances within the Phoenix UASI Region. This includes current threats and concerns, upcoming major special events, anticipated UASI funding, National MSA ranking, and current capabilities.

Threats and Concerns

Current Threats

- *Identify current threats (ex: cybersecurity)*

Emerging Threats

- Mass Casualty Event
 - Active shooter
 - Soft targets
- Acts of Terrorism
 - Bio terrorism
 - HVES
 - Domestic
- Cyber
 - Disruption of service
 - Election interference
 - Malware
 - Ransomware
- Infrastructure Protection of Grid
 - Electromagnetic Pulse (EMP)
 - Power outage
 - System restoration
 - Water

- Large Gatherings
 - Access to soft targets / large gatherings
 - Response to large gatherings and soft targets as incidents expand
- Planning
 - Urban sprawl
- Drones
 - Response and coordination
 - Legislation for counter measures

Upcoming Major Special Events

- 2020 Election
- ALS Walk
- Barrett-Jackson
- NCAA Championships
- Pat Tilman Run
- Phoenix Fan Fusion
- Presidential Visits
- Rock 'n' Roll Marathon
- Sporting Events
- Spring Training
- Super Bowl 2023
- Waste Management Phoenix Open

Anticipated Federal Funding

- \$4,000,000

National MSA Ranking

- 19

Capability Considerations

The Phoenix UASI utilizes the Threat Hazard Risk Assessment (THIRA) to analyze capability gaps within the Region. Through this analysis, each impact category is given a gap score. The gap score will be a component of the project prioritization formula. This means that projects that address areas of low capability will be more heavily weighted than projects which address an area of high capability. Attached to this document are a summary of the ten (10) current areas of highest and lowest capability. Some projects do not have an applicable impact category. For these projects, a neutral score will be applied. See THIRA/SPR & Capability Gaps section below.

IV. Significant Policies and Changes

This section describes any significant and/or new policies or changes that UASI-funded projects must adhere to.

Federal

- Any significant new policies or changes regarding allowable expenditures provided by FEMA or DHS (Source: NOFO)
- Example: Fusion Center; Cybersecurity and Nationwide Cybersecurity Review (NCSR); All emergency communications investments must describe how such activities align to the SCIP.

State

- Any significant new policies or changes regarding allowable expenditures by AZDOHS (if applicable)

Phoenix UASI

- Any policies regarding project eligibility or allowable expenditures by the Phoenix UASI (ex: backfill as an allowable expense)
- Subcommittee-specific policy guidance

V. Sustainment and New Investments

This section establishes the percentage of this funding year's dollar amount to be spent on sustainment and new investments **OR** the identification of key investment projects needed for this funding year. This is decided collaboratively at the Annual State of the UASI meeting. This decision is based on all preceding information presented in this document, particularly anticipated federal funding.

- Percentage of funding to be spent on sustainment
- Percentage of funding to be spent on new investments

OR

- Specific Investment Projects needed for this funding year

VI. Priorities

This section identifies the various Federal, State, and Phoenix UASI Region's identified priorities for the current grant cycle. These priorities will impact prioritization of projects for this grant cycle.

Federal Priorities

The Department of Homeland Security (DHS) continuously evaluates the national risk profile and sets priorities that help ensure appropriate allocation of scarce security dollars. FY 2019 supports the following priority areas:

- **Emerging Threats, including Cybersecurity**
- **Lifelines**
 - Safety and Security
 - Food, Water, Sheltering
 - Health and Medical
 - Energy
 - Communications
 - Transportation
 - Hazardous Material

State Priorities and Updates

- *(Include State Priorities by AZDOHS; if applicable)*

Phoenix UASI Region Priorities

Established Regional Priorities

The Phoenix UASI Region has established the following priorities for the upcoming grant cycle. These priorities are decided upon collaboratively at the Annual State of the UASI meeting. This decision is based on all preceding information presented in this document, particularly: capability gaps, upcoming major special events, emerging threats, and any changes to the terrorism climate within the Nation or the Phoenix UASI Region. Each of these priorities will carry the same weight, their order is inconsequential.

Priority: Training

- Deployment Exercise

Priority: Strategic and Operational Investments

- Strategic investments in response to critical incidents at large gatherings and soft target incidents
- Make strategic investments in CBRNE detection, response, mitigation and render safe
- Strategic and operational investments in responding to violent mass casualty events
- Critical infrastructure and key resources (CIKR) hardening
- Mass casualty, response, and recovery
- List of UASI assets

Priority: Regional Capability

- Equipment / transportation
- Critical infrastructure and key resources (CIKR) hardening
- Maintain the resource database

Priority: Mass Care

- Sheltering
- Increase public / private partnerships

Priority: Communications

- Large scale communication capability
- Develop a regional system to unify RRTF commitment and resource deployment
- Audio / video / sensor data sharing and integration
- Prevention / detection of communication disruption events

VII. THIRA/SPR & Capability Gaps

For purposes of the UASI program, DHS/FEMA requires states, territories, and high-risk urban areas to complete a THIRA/SPR and to prioritize grant funding to support closing capability gaps or sustaining capabilities identified in this process.

All proposed investments in core capability POETE elements should align to a capability gap in the SPR. A summary of the ten (10) current areas of highest and lowest capability are provided in the subsequent table.

Current Areas of Lowest Capability (Highest Need)		
Capability	Impact Category	Gap Score (1= Smallest Gap, 10= Largest Gap)
Critical Transportation	(#) people with access and functional needs (requiring evacuation)	10.00
Mass Care Services	(#) people requiring temporary, non-congregate housing	10.00
Mass Care Services	(#) people with access and functional needs (requiring accessible, temporary, non-congregate housing)	10.00
Housing	(#) people requiring long-term housing	10.00
Mass Care Services	(#) animals requiring shelter, food, and water	9.34
Planning	(#) partner organizations involved in incident management	9.16
Operational Coordination	(#) partner organizations involved in incident management	9.16
Public Information and Warning	(#) people with limited English proficiency affected	9.11
Mass Care Services	(#) people requiring shelter	8.56

Current Areas of Highest Capability (Lowest Need)		
Capability	Impact Category	Gap Score (1= Smallest Gap, 10= Largest Gap)
Mass Care Services	(#) people with access and functional needs (requiring accessible shelter)	0.00
Mass Care Services	(#) people with access and functional needs (requiring food and water)	0.00
Housing	(#) people with access and functional needs (requiring accessible long-term housing)	2.41
Logistics and Supply Chain Management	(#) people requiring shelter	3.02
Operational Communications	(#) partner organizations involved in incident management	3.54
Operational Communications	(#) jurisdictions affected	3.69
Operational Coordination	(#) jurisdictions affected *	4.03
Infrastructure Systems	(#) customers (without communication service)	4.15
Environmental Response/Health and Safety	(#) hazmat release sites	5.03

VIII. Project Prioritization Method

This section shows the method that the Phoenix UASI will use to prioritize the submitted projects. Although a Project Scoring Matrix Tool is used to assist in the evaluation of projects, other factors contribute to the prioritization and ultimate funding of UASI projects.

- **IMPORTANT! The scores from the Scoring Matrix Tool should only be used as a way to quantitatively rank the projects and, most importantly, provide additional context to the discussion. The subcommittee's decision (based on the score and open discussion) should ultimately dictate prioritization.**

UASI Scoring Matrix Tool

The weight of each of these factors is established collaboratively during the Annual State of the UASI. Please request the formal UASI Scoring Matrix tool from the UASI Administrator. The following represent key evaluation criteria in the tool.

Threat Factors (Weight: 0.75)

- Rate how well this project addresses terrorism.
- Does this project address Current Threats as defined in the UASI Funding Guide?
- Rate how well this project addresses Emerging Threats as defined in the UASI Funding Guide.

Regional Benefit Factors (Weight: 1.2)

- Does this project have a Multi-Jurisdictional/Regional Impact?
- Will this project enhance a regional capability as defined in the current THIRA?
- To the best of your knowledge, will this be a "go-to-resource/capability" for the region?
- Does this project have a regional benefit that addresses a unique need/risk (i.e. significant special event; CIKR; addresses a risk at a unique location, such as a stadium; etc.)?
- Project-related costs are necessary and allowed under the UASI Program and as defined in the current UASI Funding Guide.

Regional Priority Factors (Weight: 0.5)

- Does the project address a Regional Priority?
- Does the project address a State Priority?
- Does the project address a Federal Priority (NOFO)?

THIRA Gap/Capability Factors (Weight: 1.5)

- Does the most recent THIRA/SPR score apply to this project?
- Capability Gap Score from the most applicable "Impact Category" from the THIRA

Sustainment: (This section is not included in the overall scoring of projects. This information will be used only to inform the UASI regarding the sustainment of this project in future years.)

- Is the project sustainable?

IX. Project Identification, Selection, & Funding Process

1.0 ESTABLISH ANNUAL UASI PRIORITY & VISION

August | Hold Annual UASI Priority Development Workshop

Attendees: All UASI participants invited and encouraged to attend

Deliverable(s):

- Annual Regional Priorities

Action Items:

- Identify and Discuss Phoenix UASI Region Priorities
 - Discuss Emerging Threats/Concerns/Upcoming Events
 - Discuss Capability Gaps, as defined in the most recent THIRA/SPR
 - Hold UAWG vote if there is a quorum at the Workshop; if not, Regional Priorities will be voted on by email. Regional Priorities will be formally announced at the Annual State of the UASI Meeting.

Fall | Annual State of the UASI Meeting

Attendees:

- Chiefs from all jurisdictions within the Phoenix UASI Region
- Key UASI Leadership (Local and State)

Deliverable(s):

- Formally establish the key changes, priorities, and updates to the Annual Phoenix UASI Funding Guide
 - State Priorities
 - Federal Priorities
 - Amount (%) of annual funding to be spent on Sustainment vs New Investments; or major UASI projects that will be funded that year
- Discuss status of Federal and State Award Letters

Action items:

- Kickoff UASI process
- Discuss Federal Priorities and Updates
- Discuss State Priorities and Updates
- Acknowledge established Regional Priorities

- Discuss “Sustainment Vs. New Investments” and identify/discuss high-priority UASI projects.

Fall | Phoenix OHSEM develops the draft annual “Phoenix UASI Funding Guide” based on consensus from Annual UASI Priority Development Workshop and Annual State of the UASI Meeting

- Update evaluation criteria/formula, which will be published in the “Phoenix UASI Funding Guide”
- Phoenix OHSEM prepares to present the draft “Phoenix UASI Funding Guide” for the UAWG Annual Priority Meeting

Fall | UAWG Annual Priority Meeting

Attendees:

- Subcommittee Co-chairs
- Jurisdiction Reps

Deliverables:

- Publish Annual “Phoenix UASI Funding Guide”

Action Items:

- Gain consensus on items to be included in “Phoenix UASI Funding Guide”
 - Solicit input from regional SMEs and local jurisdictions
 - Finalize Annual “Phoenix UASI Funding Guide”
 - Establish guidance/policies on what will and will not be funded during the upcoming funding cycle (i.e. backfill, overtime, supplies, equipment, etc.)

2.0 UASI PROJECT IDENTIFICATION PROCESS

Fall/ Early Winter | UASI Administrator (Phoenix OHSEM) requests UASI Project Summary Sheet

Deliverables:

- UASI Project Summary Sheets

Action Items:

- Make available the updated Annual “Phoenix UASI Funding Guide”
- Request that UASI Project Summary Sheets are submitted to UASI Administrator (Phoenix OHSEM) and Subcommittee Co-Chairs

Fall/Early Winter (or as announced by the State/UASI) | AZDOHS/Phoenix OHSEM Grant Information Seminars

Late Fall/Early Winter | Hold Subcommittee Meetings to discuss Project Summary Sheets

Attendees:

- Subcommittee members

Deliverables:

- Project Summary Sheets available on UASI SharePoint prior to the Subcommittee meetings

Action Items:

- Discuss proposed/potential projects in each respective Subcommittee
- Discuss other solutions/projects based on UASI priorities for each respective Subcommittee
- UASI stakeholders submitting projects should be encouraged to prepare the projects for submission into the AZDOHS portal

Winter | Subcommittee Co-Chair Project Summary Meeting

Attendees:

- Co-chairs

Deliverables:

- Draft projects that align with Annual UASI Funding Guide

Action Items:

- Prepare co-chairs to present proposed projects before the UAWG members
- Discuss proposed projects collectively as a group.
- Discuss those projects that merit further discussion and input.
- Ensure proposed projects are identified in the most applicable and/or appropriate Subcommittee.
- Co-chairs provide feedback to those entities submitting projects that merit further discussion, modifications, and/or considerations

Winter | UAWG Project Summary Meeting

Attendees:

- Co-chairs and UAWG members

Deliverables:

- Finalized projects that align with the Annual UASI Funding Guide

Action Items:

- Co-chairs present to the UAWG voting members
- Inform and update UAWG members regarding upcoming projects
- Discuss proposed projects collectively as a group.
- Discuss those projects that merit further discussion and input
- Co-chairs provide feedback to those entities submitting projects that merit further discussion, modifications, and/or considerations

3.0 UASI PROJECT PRELIMINARY SUBMITTAL & REVIEW PROCESS

Winter (or as announced by the State) | Applicants submit UASI Grant Applications to AZDOHS and complete a Project Prioritization Tool for each project.

Deliverables:

- Applicant submits the application and Project Prioritization Tool to Phoenix OHSEM and applicable Subcommittee Co-chair.

Winter | Phoenix OHSEM & AZDOHS Reviews Applications

4.0 UASI PROJECT PRIORITIZATION PROCESS

Winter | Subcommittee Co-Chairs validate project scores for their respective subcommittees.

Winter | UASI Subcommittee Project Prioritization Meetings

Attendees:

- Subcommittee members

Deliverables:

- Project applications with the score from the Project Prioritization Tool available on UASI SharePoint prior to the Subcommittee meetings
- Projects prioritized internally by Subcommittee
 - The Project Prioritization Tool scores should only be used as a way to quantitatively rank the projects and, most importantly, provide additional context to the discussion. The subcommittee's decision (based on the score and open discussion) should ultimately dictate prioritization.

Action Items:

- Discuss proposed/potential projects in each respective Subcommittee

Late Winter | Subcommittee Co-chair Prioritization/Recommendation Meeting

Attendees:

- Co-chairs

Deliverables:

- Projects deemed compliant or non-compliant with Annual UASI Funding Guide
- Compliant projects prioritized throughout UASI
 - The Project Prioritization Tool scores should only be used as a way to quantitatively rank the projects and, most importantly, provide additional context to the discussion. The Co-Chairs' decision (based on the score and open discussion) should ultimately dictate prioritization.

Action Items:

- Discuss and prioritize proposed projects collectively as a group.
- Determine eligibility and compliance, and amend projects, as needed.

Late Winter/Early Spring | UAWG Voting/Recommendation Meeting

Attendees:

- Co-chairs and UAWG members

Deliverables:

- UAWG approves project prioritization results

Action Items:

- Co-chairs present to the UAWG voting members.
- UAWG reviews project prioritization results

5.0 UASI DHS APPLICATION AND SUBMITTAL PROCESS

Spring | Notice of Funding Opportunity is announced

Spring | Select/Modify Projects Based on Actual Funding Allocations, as needed.

- Subcommittees may need to make adjustments to projects and their amounts based on actual funding opportunity amounts
 - Additional adhoc meetings may be scheduled to expedite the revisions and approval process with subcommittees and co-chairs.

Spring | UAWG Voting Meeting

Attendees:

- Co-chairs and UAWG members

Deliverables:

- Final vote on projects
- Phoenix OHSEM has all permissions and information necessary to submit application

Action Items:

- UAWG reviews projects and any changes made prior to submitting application

Late Spring | UASI application to DHS is due

Late Summer/Early Fall | Award letters distributed

Fall | Period of Performance Begin

