



**To: Bay Area UASI Approval Authority**  
**From: Catherine Spaulding, Assistant General Manager**  
**David Frazer, Risk Management and Information Sharing Project Manager**  
**Date: April 11, 2013**  
**Re: Item #4: FY14 Risk Management Cycle**

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**Recommendation:**

No recommendation – for discussion only.

**Discussion:**

The Management Team has completed its planning for the FY14 Risk Management Cycle in close partnership with the NCRIC, Digital Sandbox, and Filler Security Strategies.

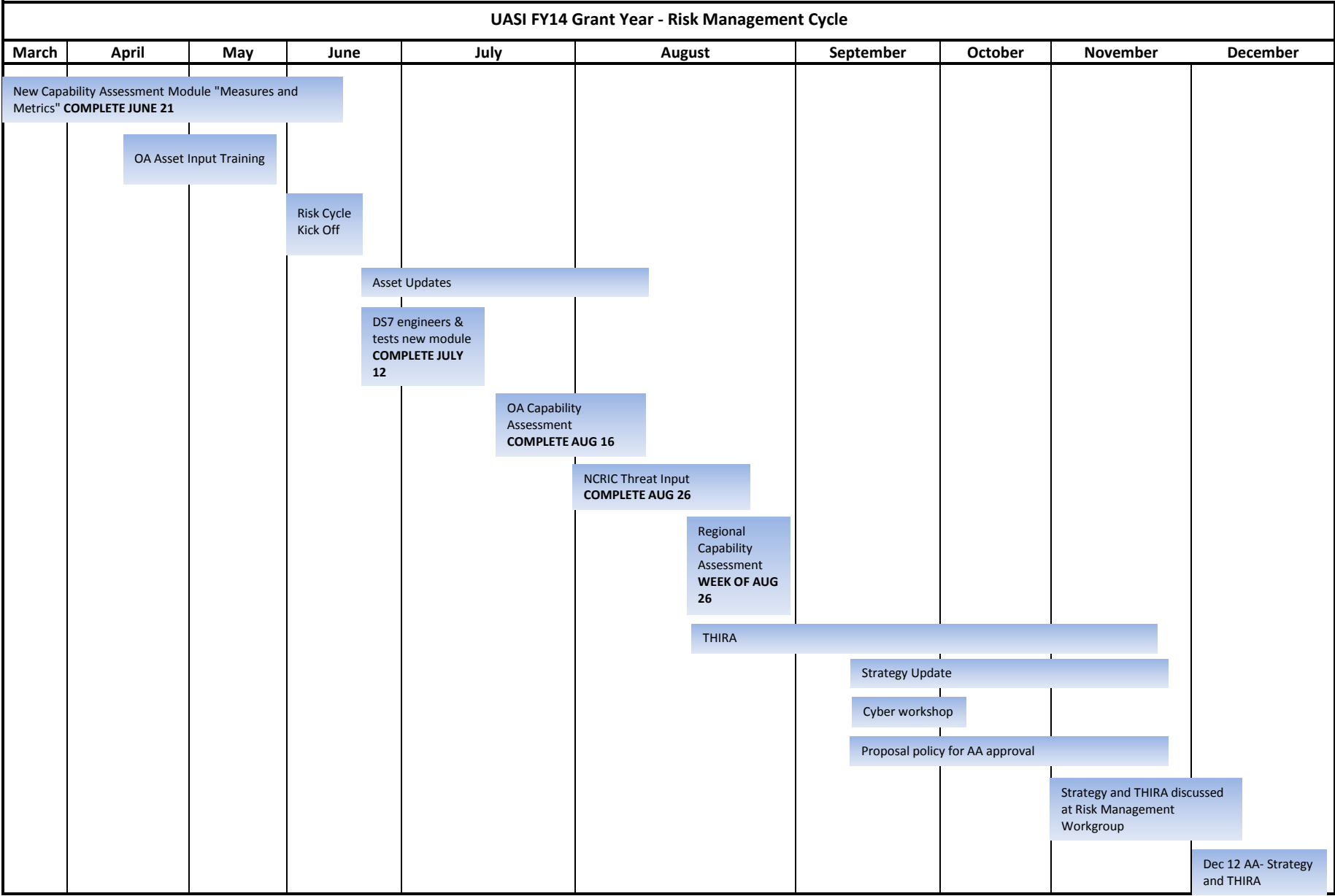
The Approval Authority Bylaws (July 2011 Section 8.1) specify that the Approval Authority must use a risk and capability-based methodology to apply for and allocate grant funds. This is consistent with guidance from the Department of Homeland Security, that all levels of government establish a foundation to justify and guide preparedness activities and investments. In addition, as of 2011, the Department of Homeland Security requires all grantees to develop and maintain a Threat Hazard Identification and Risk Assessment (THIRA). The Bay Area UASI Management Team initiated such a regional collaborative planning, risk validation analysis, and capabilities assessment in 2010. We have been repeatedly acknowledged by Cal EMA and FEMA for the robust nature of our risk assessment process.

For FY14, the risk assessment cycle starts in June with update and input on critical infrastructure and key resources and terminates with the approval of the THIRA and Bay Area Homeland Security Strategy in December.

We have two new elements in our risk cycle this year: 1) the development of a new measures and metrics module in Digital Sandbox to better define and track changes in our core capabilities over time; and 2) a cyber workshop in September to help formulate objectives and action steps on cyber security.

Please see appendix A for a detailed timeline on the FY14 risk management cycle. In May we will email all Bay Area UASI stakeholders about the FY14 cycle and timeline, including save the dates notices.

APPENDIX A  
FY14 RISK MANAGEMENT  
CYCLE



**APPENDIX B**

**FY14 RISK MANAGEMENT  
CYCLE**



## **FY 2014 Bay Area UASI Risk Management Program**

**April 3, 2013**

The Bay Area UASI has established a cross-jurisdictional, cross-functional risk management program for the urban area. The Program helps set priorities, develop or compare courses of action, and inform decision-making. It is an on-going effort with regular data input, validation, assessments, and reporting. A risk and capability-based methodology to allocate UASI funds is required by the Department of Homeland Security and is mandated in the Bay Area UASI Approval Authority Bylaws.

The risk management program follows a series of six steps:

### **1. Kick-Off Meeting**

**WHO:** All Bay Area UASI stakeholders involved in risk management, including the Risk/Info Sharing Workgroup and other regional and subject matter experts.

**WHAT:** The Bay Area UASI Management Team and Digital Sandbox provide an overview of the process and goals for the grant year as well as a high level overview of the Digital Sandbox Inc. Risk Analysis Center (RAC) tool box and Protected Critical Infrastructure Information (PCII) certification requirements.

**WHEN:** May 29th, 2013 10:00am – 12:00pm

**WHERE:** Alameda County Sheriff's Office OES, 4985 Broder Blvd., Dublin, CA 94568

### **2. Risk Data Validation**

**WHO:** Operational Area subject matter experts who are PCII trained and certified RAC users, NCRIC, and other members assigned this task for an Operational Area.

**WHAT:** Subject matter experts review and update the asset data in the Risk Analysis Center (RAC). The NCRIC reviews and validates the information, and then submits it to the PCII office for certification.

**WHEN:** June 1st – August 15<sup>th</sup>, 2013

**WHERE:** In Digital Sandbox

### **3. Operational Area Core Capability Assessment – *NEW THIS YEAR!***

WHO: Operational Area subject matter experts.

WHAT: Subject matter experts input Operational Area-level data into the new Measure and Metrics Module in Digital Sandbox to evaluate the level of preparedness in each core capability. Digital Sandbox will then compile this information to inform the regional capabilities workshop (see next step).

WHEN: July 15<sup>th</sup> – August 15<sup>th</sup>, 2013

WHERE: In Digital Sandbox

### **4. Regional Capabilities Assessment**

WHO: Subject matter and regional experts, NCRIC

WHAT: The Bay Area UASI Management Team organizes a regional capabilities assessment workshop with subject matter and regional experts to assess core capabilities and levels of readiness to meet identified risks. The product of this work is a regional gap analysis report showing areas in need of attention and mitigation.

WHEN: Workshop date: Aug 29th, 2013 (save the date will be sent out in June 2013)

WHERE: Alameda County Sheriff's Office OES 4985 Broder Blvd., Dublin, CA 94568

- *An "outbrief" of steps 1-4 will be held in September to provide stakeholders with results and obtain participants' feedback on the process this year*

### **5. Strategy and THIRA**

Filler Security Strategies will review the risk and gap analysis data produced in steps 1-4 above and prepare an updated Bay Area Homeland Security Strategy, which is required by the Department of Homeland Security (DHS). The Threat and Hazard Identification and Risk Assessment (THIRA), also required by DHS, is prepared by Digital Sandbox based on the risk management program results. It lays out the region's threats and hazards and how the impacts may vary according to time of occurrence, season, location, and other community factors. Drafts of these documents will be reviewed by the Risk/Info Working Group before presentation to the Approval Authority in December 2013.

### **6. Grant Planning**

The grant planning process involves meetings among regional stakeholders and subject matter experts to review risk formula and resource allocation strategy, as well as develop project proposals. Project proposals and requested allocations will go to the Approval Authority for final project approval in the spring of 2014. Details on this process will be provided pending Approval Authority guidance.

The Bay Area UASI Project Manager assigned to the UASI Risk Management Program is David Frazer. He is responsible for oversight of Digital Sandbox as well as executing all of the steps in the risk management program described above. For more information, please contact:

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**Bay Area UASI Management Team**  
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**(707)-490-8276 (cell)**

**Mark Your Calendar!**

**Kick off meeting:** May 29th, 2013 10:00am– 12:00pm, Alameda County Sheriff's Office  
OES, 4985 Broder Blvd., Dublin, CA 94568

**Capability assessment workshop date:** Aug 29<sup>th</sup>, 2013, Alameda County Sheriff's Office  
OES 4985 Broder Blvd., Dublin, CA 94568