



2019 Online URT User Guide

Getting Started

FEMA provides the online Unified Reporting Tool (URT) to support states, territories, tribes, and urban areas completing the Threat and Hazard Identification and Risk Assessment (THIRA), the Stakeholder Preparedness Review (SPR), and other reporting requirements. Communities use the THIRA to better understand their risks and determine the capability needed to address those risks. Communities then use the SPR to estimate their current capabilities, identify capability gaps and their intended approaches for addressing them, and assess the impact of relevant funding sources on building and sustaining their capabilities.

FEMA is hosting the 2019 URT on preptoolkit.fema.gov, an online platform managed by PrepToolkit to help government agencies collaborate and collect information.

Note: The online URT is compatible with the latest Internet browsers, including Microsoft Edge, Google Chrome, Mozilla Firefox, and Safari. However, the URT may not work properly on some older browser versions such as Internet Explorer 11. For optimal performance, please disable pop-up blockers on preptoolkit.fema.gov for the online URT to function properly, and do not use a mobile device.

To Begin

All users should access the URT by first going to <http://preptoolkit.fema.gov/>. This takes you to the **PrepToolkit home page**, your main point of entry for the online URT.

Click on the **Sign In** link in the top right corner.

If you did not have a PrepToolkit account before the URT move to PrepToolkit:

- Click **Forgot Sign In** in the bottom left corner. A pop-up box appears.
- Enter the email address you used for your MAX.gov URT account, check the reCAPTCHA box, then click **Continue**
- Check your email and click the provided link within 60 minutes
- Enter a password in the **New Password field** (See graphic below for password requirements) and repeat it in the **Confirm New Password field**
- Click **Reset Password**

You will now be logged into PrepToolkit.



Sign in or complete the form to reset your password

Username:

New Password* ▲ Field cannot be blank

- must be 15 characters or more
- must contain a mixture of upper-case letters, lower-case letters, numbers, and special characters
- must not match your name or username
- must not contain dictionary words
- must differ from the previous password by a minimum of four characters
- must not match your last 10 passwords
- must be changed every 60 days or less
- must not be changed more than once in a 24 hour period

Confirm New Password*

If you already had a PrepToolkit account before the URT move to PrepToolkit, you can log in as you normally would.

Once logged in, click the **URT icon**, which will open the **URT home page**.

You can access the **THIRA/SPR Navigation** page by hovering over the **THIRA/SPR** menu bar item at the top of the page, and then scrolling to and clicking the **Navigation** item.

Home Page and Menu Bar

The navy-blue **menu bar** is the main dashboard to access the THIRA/SPR, including the Workshop Resources, secondary assessments, URT Collaboration Community, and other support pages within the URT.

Below the **Welcome** section, you will see an **overview** of the URT, including points of contact information if you experience difficulties with the tool.

Below the Welcome section, you will see the **Reporting Requirements** section. Read through the sections on this page and take note of the URT reporting requirements for your jurisdiction.

This user guide can be downloaded via the link in the User Guide section.



THIRA/SPR

Hovering over the **THIRA/SPR** button on the menu bar will reveal links to the **Instructions**, the **Navigation Report** for the THIRA/SPR assessment, the **THIRA/SPR Help Page**, and the **Workshop Resources** page.

1. Click on the **Instructions** link and read through the instructions for the THIRA/SPR.
 - On this page, you will find an overview of the THIRA/SPR assessment process, terms of release, and the paperwork burden disclosure notice.
2. Click on the **Navigation** link and read through the instructions at the top of the page.
 - Scroll down to see the **Navigation Report**, which will be your main point of access to the THIRA/SPR assessments.
3. Click on the **Help** link.
 - On this page, you will find the user guide, upcoming instructional videos, and user support information.
4. Click on the **Workshop Resources** link.
 - The workshop resources page will include presentations and tools from the 2019 National Preparedness Workshops (THIRA/SPR technical assistance).

Next Steps

Proceed to the **Navigation Report** by clicking **Navigation** to begin your THIRA/SPR assessments. Select your jurisdiction from the dropdown list to launch your assessment page. To log out, click your name at the top right corner of the page and click **Sign Out**.

Comprehensive Preparedness Guide (CPG) 101

Clicking on the **CPG-101** button on the menu bar will bring you to the assessment page. On this page you will find an overview of the assessment process, instructions, and the form through which you will complete and submit your CPG-101 assessment.

National Incident Management System (NIMS)

Clicking on the **NIMS** button on the menu bar will bring you to the assessment page. On this page you will find an overview of the assessment process, instructions, and the form through which you will complete and submit your NIMS assessment.

Urban Area Working Group (UAWG)

Clicking on the **UAWG** button on the menu bar will bring you to the assessment page. On this page you will find an overview of the assessment process, instructions, and the form through which you will complete and submit your UAWG assessment.



Navigation

The **Navigation Report** will be your compass to move through the THIRA and SPR assessments. You can access the Navigation Report by clicking the **Navigation** link under **THIRA/SPR** in the menu bar.

Navigation Report Overview

You will use the **Navigation Report** to access the forms for each step of the assessment. The report is presented as a table with the following information:

1. The **Step** banners list the steps of the THIRA and SPR assessments. You can expand and collapse these sections by clicking on them.
2. The **Status** column tracks your progress as you complete each step.
 - A red status indicator in this column means that a step is not complete. A green status indicator means that a step is complete.
3. The **Required** column in THIRA Step 3 and SPR Capability assessment specifies which forms your jurisdiction must complete.
 - Cells in this column will either state 'Yes' or 'No' to indicate whether a step is required.
4. The column to the left of the **Status** column with the **expansion icon** (plus sign in a box) contains the edit buttons to access the forms for each THIRA/SPR step.

Note: The report tracks your progress at the step level (e.g., THIRA Step 1). For several steps, however, the report tracks progress at the threat and hazard, core capability, and standardized target level. By default, these rows (and **Edit** buttons) are hidden. To expand these rows, click on the **expansion icon** to the left of the **Status** column. To hide the rows, click on the expansion icon (now a negative sign) **again**.

Above the **Navigation Report**, you will find progress bars that will track how much progress you have made—from zero to 100 percent—in completing the requirements of the THIRA/SPR assessments.

Beginning the THIRA/SPR Process and Using the Navigation Report

You will begin the THIRA/SPR process through the **Navigation Report**. Using the **Edit** buttons in the far-left column, you can navigate directly to each of the THIRA/SPR forms. **Note:** this section of the Online URT User Guide provides instructions on creating threats and hazards and **accessing** the forms for each step of the THIRA/SPR process. Future sections will provide instructions on **completing** each form.

THIRA Step 1: Identify Threats and Hazards of Concern

You will begin your THIRA by entering the name of a threat or hazard for THIRA Step 1. To complete this step, click on the **THIRA Step 1 and Step 2: Enter Threats/Hazards with Context** banner and enter the name of your threat or hazard in the text box **Threat Name**. When creating names for your threats or hazards, FEMA recommends including the incident type as well as some additional identifying information, such as “Earthquake – San Andreas Fault,” rather than just “Earthquake.”



After entering the name, click **Create Threat**, located next to the text box. Once a threat or hazard is generated, it appears beneath the **THIRA Step 1 and Step 2: Enter Threats/Hazards with Context** banner under the **Threat Name** column and generates a form in which you must fill out additional information about that threat or hazard. Repeat this process for all threats and hazards that you have identified for your jurisdiction.

To edit a threat or hazard name, click on the **Edit icon** (Notebook with pencil) to the left of the threat name to open the threat or hazard in a text box on a new page. Within the text box, the threat or hazard name can be edited. After editing the name, click **Save** at the top of the page.

To delete a threat or hazard and its associated form, click on the **Delete** button (trashcan icon) to the left of the threat name. Note: deleting a threat will permanently delete all the information you have entered regarding that threat in THIRA Steps 1 and 2 and may affect portions of the THIRA Step 3 and SPR Capability Assessment forms. This information cannot be recovered.

THIRA Step 2: Give the Threats and Hazards Context

To access the form for a threat or hazard, click on the **Edit icon** (Notebook with pencil) to the left of the threat name. Clicking the **Edit icon** associated with a threat or hazard will take you to the THIRA Step 2 form in which you will provide context for that threat or hazard and add impacts.

THIRA Step 3: Establish Capability Targets

To enter your capability targets, click on the **THIRA Step 3: Establish Capability Targets** banner to expand the list of the core capabilities. Then click on the expansion **icon** to the left of your chosen core capability to select from the list of associated standardized targets, labeled by the functional area(s) they address. Find the functional areas for which you want to enter a target and click the associated **Edit icon** to load the form. A form will load in which you can enter a capability target.

Note that only required standardized targets will appear on your **Navigation Report**. You can add non-required targets using the **Add Functional Area** link. When clicked, the **Add Functional Area** menu displays a dropdown menu of all functional areas for this core capability. Once an option is selected from this list, use the small free-text box below to enter in a descriptive label for that particular functional area. Once you are finished specifying the descriptive label, select the **OK** button. A new row will appear in the **Navigation Report** with the newly-entered functional area name.

SPR Capability Assessment

To begin your SPR, click on the **SPR Capability Assessment** banner to reveal the list of the core capabilities. Then click on the **expansion icon** to the left of your chosen core capability to reveal and select from the list of functional areas associated with each required standardized target. Select a functional area to assess by clicking the associated **Edit icon** to load the form in which you can complete the assessment.

THIRA/SPR Post-Assessment

To complete the combined THIRA and SPR post-assessment, find **THIRA/SPR Post Assessment** button at the bottom of the **Navigation Report** and click it to load the post-assessment form.



Note: Remember to always click the Save button at the top of each form after data entry. The **Mark Form Complete** option under the **Actions** dropdown helps check your form for completion. When clicked, all required questions or sections on a form that have not been completed will turn RED. You must click on this menu item and make sure all required fields on a form have been completed to be able to submit your THIRA and SPR assessments. The SUBMIT buttons for the THIRA and SPR on the navigation page will remain greyed out and inactive until you complete all required fields and mark your forms as complete.

Reviewing Your THIRA and SPR Submissions

For reference, you may review 2018 THIRA and SPR responses in read-only reports. To access the 2018 reports, click the **Actions** button at the top of the **Navigation Report** or Form you are working on and select **See Prior Year's Data**. Additionally, you may view a shortened summary of your current year's responses through the **THIRA Executive Summary** and **SPR Executive Summary** links (*forthcoming in a couple of months*).

Submitting Your THIRA and SPR to FEMA

When you have completed each of the THIRA and SPR steps, use the **Submit THIRA to FEMA** and **Submit SPR to FEMA** buttons under the **Actions** button at the top right of the **Navigation Report** to submit your assessments to FEMA. You will only be able to submit after you complete all required steps (i.e., the step-level status indicators in the Navigation Report are green for all THIRA and/or SPR steps). Until that point, you will not be able to click the **Submit THIRA to FEMA** and **Submit SPR to FEMA** buttons. Once you complete all the required steps for either the THIRA or SPR, you will be able to click those buttons, allowing you to submit that assessment to FEMA.

Upon clicking the **Submit THIRA to FEMA** and **Submit SPR to FEMA** buttons, a warning message will appear confirming that you are ready to submit your assessment. To submit the assessment, click **Submit**. To return to the Navigation Report without submitting your assessment, click **Cancel**.



THIRA Step 1 and Step 2: Enter Threats/Hazards with Context

In **THIRA Step 1 and Step 2: Enter Threats/Hazards with Context**, enter information about the threats and hazards that are a concern to your community. Additionally, provide context descriptions and develop estimates for the standardized impacts, for each threat or hazard you have created. You can access these steps by clicking on their corresponding banner in the **Navigation Report**.

Threats and Hazards Information

To enter information about a threat or hazard, complete the following steps:

1. Click on **THIRA Step 1 and Step 2: Enter Threats/Hazards With Context** in the **Navigation Report** and add a Threat/Hazard by entering text in the **Threat Name** text box and selecting the **Create Threat** button
 - The Threat should appear in a row below.
2. Click on the **Edit icon** (Notebook with pencil) next to the Threat/Hazard you just created. A **Threat/Hazard Context** page opens up.
 - If you select **Human-caused** under Threat Category, a **Terrorism** dropdown menu appears directly below for you to select **“Yes”** or **“No,”** to indicate if the threat or hazard is terrorism-related.
3. Select the threat or hazard type from the corresponding **Type** dropdown menu. This list will change depending on the threat or hazard category you selected.
 - If the threat or hazard type you want is not present in the dropdown menu, select **“Other”** and enter the type name in the **Other** text field that appears below the dropdown menu.
4. Click on the **Save** button near the top of the form to save your progress.

Context Descriptions

To enter your context descriptions, complete the following steps:

1. Click inside the **Context Description** text box and enter a context description that explains the details about your threat or hazard needed to identify the impacts it will have on a community and includes critical details such as location, magnitude, and time of an incident.
2. Click on the **Save** button near the top of the form to save your progress.

Impact Estimates

To enter estimates for the required standardized impacts, complete the following steps:

1. Click on the banner labeled **Standardized Impact Entries** to reveal the Impact Category list.
 - In the table displayed, click under **Impact Number** for each **Impact Category** row, and enter a numeric value that is relevant to the threat or hazard that you are working on. Click **OK** after entering each value and click **Save** once you are finished.



- Users can view all their standardized impact estimates as entered across all threats and hazards in the **Impact Category (read only) table directly below the Standardized Impact Entries table.**
2. You are required to input an **Impact Number** for each **Impact Category** at least once across all threats and hazards (all THIRA Step 2 forms).
 - The overall THIRA Step 2 status light on the **Navigation Report** will not turn green until you have completed this requirement.
 3. To add additional impacts to the list of required standardized impacts, click the **Add Row** button at the top of the table to create a new row in the table.
 - You can input free-text entries in the **Impact Category** column, along with corresponding numeric values in the **Impact Number** column, for newly added rows.
 4. Optionally, you can use the **Non-Standardized Impact Entries (Optional)** table that appears below the **Standardized Impact Entries** table to enter your own free-text impacts.
 - Add Non-Standardized Impact Entries by selecting **Add Row** at the top of the table labeled “Non-Standardized Impact Entries (Optional).”
 - Clicking the **Delete** button (trashcan) to the left of the **Impact** will remove it from the table.
 5. Click on the **Save** button at the top of the form to save your progress.

Identify Sources

To enter and describe the sources used to develop the context description and calculate your impacts, complete the following steps:

1. Select the source(s) you used to complete THIRA Step 2 by selecting at least one checkbox from the options in the **Source Identification** section.
 - If you select the “**Other**” checkbox, use the free-text box that appears below to describe the other source(s).
2. Optionally, you can also use the free-text box below the **Source Identification** checkboxes to describe how you used the selected sources to develop the context description and calculate your impacts.
3. Click on the **Save** button at the top of the form to save your progress.
4. Click **Back to THIRA/SPR Assessment Dashboard** to return to the **Navigation Report**. You should now see your Threat Name with a green check status under the THIRA Step 1 and Step 2 banner.

Prior Year Data

To access your prior year data for THIRA Steps 1 and 2, click on the **See Prior Year’s Data** button under the **Actions** button the top of the form. This will open a new tab in your browser that displays a read only version of your prior year THIRA data.



Journal Notes

Within each form is a **Journal Notes/Comments** section to capture information that you wish to keep concerning that part of your THIRA. For example, you may want to use the Journal Notes to help you keep track of the departments, agencies, or people who helped you complete each part of the assessment. This section is not part of your formal THIRA submission, but it can help you maintain a consistent approach from year to year and maintain a log of your efforts.

The **Journal Notes/Comments** text box is located below the **Source Identification** section. Enter your notes in the box and click the **Save** button to save both your comments and your progress in completing this form. The next time you visit the form, your comments will remain within the **Journal Notes/Comments** text box, where they can be edited or deleted.

Completeness Tips

Completeness tips detail the actions that you must complete in order to meet the response requirements for a form, turning the form's status indicator on the **Navigation Report** from red to green. Note: the completeness tips will only be displayed when you mark a form as complete but have not completed all required sections in the form; you do this by clicking the **Mark Form Complete** option under the **Actions** dropdown menu.



THIRA Step 3: Capability Target

In **THIRA Step 3: Capability Target**, you will establish **capability targets**. You should view capability targets as the level of capability you plan to build to, instead of a target based on maximum capability requirements. Optionally, you can also choose to include a maximum requirement target in addition to the capability target, capturing that level of capability needed to address your most significant impacts. You will insert community-specific numbers into **standardized target language** to develop your capability targets, rather than provide free-text capability targets. You can access this step through the **Navigation Report**.

Capability Targets – Required

To complete your required capability targets, complete the following steps:

1. Click on the **THIRA Step 3: Establish Capability Targets** banner to expand it. The list of Core Capabilities will appear below.
2. Click on the **expansion icon** (plus sign in a box) next to the Core Capability to expand the list of Functional Areas below. Click on the **Edit icon** (Notebook with pencil) icon next to the Functional Area to open the page with the Capability Target for that Functional Area.
3. Review the **Impact Numbers** you have previously entered for the standardized impacts associated with the standardized target. You can find these at the top of the form in the **Standardized Impacts for Capability** table.
 - The table will only display those **Impact Categories** that are associated with the standardized target on which you are working.
 - You may add **standardized impacts** to this table if you believe they are relevant to informing your **Capability Target**. To add standardized impacts, expand the table by clicking on its name, click the **Add Standardized Impacts** button above the table, and check the impacts in the pop-up window that you want added to the table. Click **OK** once you have selected your impacts. To remove the impacts that you added, click the trashcan icon next to the impact.
 - To add non-standardized impacts in the **Non-Standardized Impacts for Capability** table, expand the table by clicking on its name, select the **Add/Remove Non-Standardized Impacts** button, and then check from the non-standardized impacts from the list that appears, which lists out the non-standardized impacts entered in THIRA Step 2 for all threats and hazards.
4. Enter your **impact numbers** and **timeframe metrics** in the **Capability Target** section.
 - The standardized target statement language will be pre-loaded and read-only. You are responsible for entering the **impact numbers** and **timeframe metrics** into the editable text boxes, as well as selecting the specific **timeframe unit** (minutes, hours, days, weeks, months, years) using the dropdown menus built into the standardized target language.
 - Optionally, you can provide additional context necessary to understanding your



capability target in the accompanying text box labeled **“Please provide any additional context necessary to understand your capability target (optional).”**

- Optionally, you can also input **impact numbers** and **timeframe metrics** for your maximum requirement in the **Maximum Requirement** section.
5. Select a threat or hazard from the dropdown menu asking, **“Which of your identified threats and hazards most challenges your ability to achieve this capability target?”**
 - The dropdown menu is populated with a list of threats or hazards that you created in **THIRA Step 1**.
 - Optionally, provide additional context to understand why the threat or hazard identified most challenges your ability to achieve the capability target in the free-text box below the dropdown menu.
 6. Click the **Save** button at the top of the form to save your progress.
 7. Click **Back to THIRA/SPR Assessment Dashboard** to return to the **Navigation Report**. You should now see the Functional Area with a green check status under the core capability.

Capability Targets – Non-Required (Optional)

To complete non-required capability targets, complete the following steps:

1. If desired, you can choose to display any standardized impacts that are relevant to your non-required target.
 - To do so, select the **Add/Remove Standardized Impact** button above the **Standardized Impact for Capability** table.
 - This will show the standardized impact list which includes all standardized impacts from THIRA Step 2, including any impact that you manually entered.
 - Once you select a standardized impact(s), the associated impact numbers across all threats and hazards (as entered in THIRA Step 2) will display in the appropriate columns with the name of the threat or hazard.
2. If desired, you can display the non-standardized impacts entered in THIRA Step 2 that are relevant to the capability target you are working on.
 - To do so, select the **Add/Remove Non-Standardized Impacts** button, and then choose from the non-standardized impacts from the list that appears, which lists out the non-standardized impacts entered in THIRA Step 2 for all threats and hazards.
3. Enter your capability target(s) in the **Capability Target** text box and, optionally, the **Maximum Requirement** text box.
 - Both the **Capability Targets** and **Maximum Requirements** are free text entries for non-required capability targets; FEMA will not have pre-loaded, standardized target language built into the URT.
 - You can provide additional context necessary to understanding your capability target in the accompanying text box below the **Capability Targets**.



4. Select a threat or hazard from the dropdown menu asking, “**Which of your identified threats and hazards most challenges your ability to achieve this capability target?**”
 - The dropdown menu is populated with a list of threats or hazards that you created in **THIRA Step 1**.
 - Optionally, provide additional context to understand why the threat or hazard identified most challenges your ability to achieve the capability target in the free-text box below the dropdown menu.
5. Click the **Save** button at the top of the form to save your progress.
6. Click on the **THIRA/SPR Assessment Dashboard** to return to the **Navigation Report**. You should now see the Functional Area with a green check status under the core capability.

Prior Year Data

To access your prior year data for **THIRA Step 3: Establish Capability Targets**, click on the **See Prior Year’s Data** under the **Actions** button at the top of the form. This will open a new tab in your browser that displays a read only version of your prior year THIRA data.

Journal Notes

Within each form is a **Journal Notes/Comments** section to capture information that you wish to keep concerning that part of your THIRA. For example, you may want to use the Journal Notes to help you keep track of the departments, agencies, or people who helped you complete each part of the assessment. This section is not part of your formal THIRA submission, but it can help you maintain a consistent approach from year to year and maintain a log of your efforts.

The **Journal Notes/Comments** text box is located below the question “**Provide any additional context necessary to understand why you expect the threat or hazard identified to most challenge your ability to achieve this capability target (optional).**” Enter your notes in the box and click the **Save** button to save both your comments and your progress in completing this form. The next time you visit the form, your comments will remain within the **Journal Notes/Comments** text box, where they can be edited or deleted.

Completeness Tips

Completeness tips detail the actions that you must complete in order to meet the response requirements for a form, turning the form’s status indicator on the **Navigation Report** from red to green. Note: the completeness tips will only be displayed when you mark a form as complete but have not completed all required sections in the form; you do this by clicking the **Mark Form Complete** option under the **Actions** dropdown menu.



SPR Capability Assessment

For the **SPR Capability Assessment**, you will identify your current capabilities using the same language as the capability targets established in **THIRA Step 3**. To determine current capability, you must consider how much capability you have lost, sustained, and/or built over the past year. You will then indicate whether specific gaps exist in planning, organization, equipment, training, or exercises (POETE), as well as your intended approaches for addressing your gaps. Finally, you will indicate the role played by all relevant funding sources in sustaining and closing capability gaps over the past year, as well as the role they may have played during real-world incidents. You can access this assessment through the **Navigation Report**.

SPR Step 1: Assess Capabilities

You will identify your community's capability levels in the same terms as your capability targets by considering how much capability you have lost, sustained, and/or built over the past year. In addition, you will identify the POETE areas associated with the capability assessment, provide free-text descriptions of the capability changes over the past year, and rate your confidence in the accuracy of your assessment.

Assess Capabilities for Required Standardized Target

To complete your capability assessment for a required standardized target, complete the following steps:

1. Click on the **SPR Capability Assessment** banner to expand it. The list of Core Capabilities will appear below.
2. Click on the **expansion icon** (plus sign in a box) next to the Core Capability to expand the list of Functional Areas below. Click on the **Edit icon** (Notebook with pencil) icon next to the Functional Area to open the page to assess the **SPR Assessment** for that Functional Area.
3. Review the **read-only capability target** that you entered for that capability in **THIRA Step 3** and click on the **SPR Step 1: Assess Capabilities** banner to expand SPR Step 1 below.
4. In the **Capability Assessment** table at the top of the page, input a numeric entry for all columns (Capability Lost, Capability Sustained, Capability Built, and Estimated Current Capability).
 - The number of **Metric** rows is based on the number of standardized impacts included in the standardized target.
 - Once you complete this table and save the form, the **Estimate of Current Capability** text-box will automatically populate the **Metric(s)** from the Estimated Current Capability column.
5. Click the **Save** button at the top of the form to save your progress.

Assess Capabilities for Non-Required Target

To complete your capability assessment for a non-required capability target, complete the following steps:



1. Review the **capability target** that you entered for that capability in **THIRA Step 3**.
2. The **Capability Assessment** table at the top of the page is pre-loaded with the **Impact Categories** that you added in **THIRA Step 3**, for the non-required capability target you are working on. This can be found in the Metric rows.
3. In the **Capability Assessment** table, input a numeric entry for all columns (Capability Lost, Capability Sustained, Capability Built, and Estimated Current Capability).
4. In the **Estimate of Current Capability** free-text box, type in your **Capability Target** with the **Estimated Current Capability** inputs from the table above.
5. Click the **Save** button at the top of the form to save your progress.

Describe Capability Changes

To describe the changes in capability indicated in the previous section, complete the following steps:

1. In the **POETE Areas Associated with Quantitative Assessment** section, select the POETE checkboxes for capability lost, capability sustained, and/or capability built, to indicate the POETE areas that drove those the changes in capability identified in the table above.
 - You can select as many POETE areas as desired.
2. To provide free-text descriptions of your capability changes for capabilities lost, sustained, and built, use the free-text boxes in the **Describe how you have lost, sustained, and built capability over the past year** section.
3. If you have relevant mutual aid agreements, use the dropdown menu asking, **“Do you have a mutual aid agreement(s) relevant to achieving this target?”** below the free-text boxes to select “Yes” (or “No”, if you do not).
 - If you select “Yes,” an additional free-text field will appear where you describe how much mutual aid impacts your ability to meet the capability target.
4. Click the **Save** button at the top of the form to save your progress.

Provide Additional Context for Your Capability Assessment

To provide additional context for your capability assessment, complete the following steps:

1. To identify a **Confidence Rating**, select from one of the five radio buttons under the question asking, **“What is your confidence in the accuracy of your capability assessment?”**.
 - You can only select one **Confidence Rating**.
 - “1” indicates lower confidence and “5” indicates higher confidence.
2. To identify the sources of information used to develop your capability assessment above, select the relevant checkboxes under the question asking, **“What sources did you use to estimate your capabilities?”**.
 - You can select as many source checkboxes as desired.
 - If you select **Other**, please provide additional context in the free-text box below.



3. Optionally, you can elaborate on your rationale for your capability assessment, confidence rating, or any other component of SPR Step 1 using the free-text box under the question asking, **“Provide any additional context required to support your capability assessment (optional).”**
4. Click the **Save** button at the top of the form to save your progress.

Step 2: Identify and Address Capability Gaps

You will determine the causes of the capability gap between the capability target and the current capability identified in SPR Step 1. Then, describe the actions and investments needed to close the capability gap or sustain the capability, and assign a priority rating for how important it is to achieve the capability target.

Priority Rating

To enter a priority rating, complete the following steps:

1. Click on the **SPR Step 2: Identify and Address Capability Gaps** banner to expand SPR Step 2 below.
2. Review the table at the top of the **SPR Step 2: Identify and Address Capability Gaps** section showing your capability target, estimated current capability, and capability gap for each standardized impact in the standardized target being assessed.
 - The numbers in the **Capability Target** and **Estimated Current Capability** cells will be automatically populated based on your responses in THIRA Step 3 and SPR Step 1. The **Capability Gap** will be automatically calculated.
3. Assign a priority level indicating your community’s priority level using the dropdown menu labeled, **“Identify the priority you place on fully achieving your capability target, whether by addressing the gap or if there is no gap, by maintaining current capability.”**
 - Priority ratings should be assigned even in cases where there is no gap, indicating the priority that you place on sustaining your current level of capability.
4. Click the **Save** button at the top of the form to save your progress.

Identify and Describe Capability Gaps

To identify and describe your capability gaps, complete the following steps:

1. Review the table at the top of the **SPR Step 2: Identify and Address Capability Gaps** section showing your **Capability Target**, **Estimated Current Capability**, and **Capability Gap** for each standardized impact in the standardized target being assessed.
 - The numbers in the **Capability Target** and **Estimated Current Capability** cells will be automatically populated based on what was entered in THIRA Step 3 and SPR Step 1. The **Capability Gap** will be automatically calculated.
2. In the **Describe your capability gaps** section, click on the checkmarks for each **POETE** (planning, organization, equipment, training, and exercises) area in which capability gaps exist for the standardized target.
3. Beneath each selected **POETE** area, use the **Gap Description** free-text boxes to describe the capability gaps that exist.



4. Click the **Save** button at the top of the form to save your progress.

Approaches to Address Gaps & Sustainment Needs

To enter your approaches for addressing your capability gaps and sustainment needs:

1. In the **Describe approaches for addressing capability gaps and sustainment needs** section, use the **Build/Sustain** dropdown menu under each POETE area to select the type of approach you will describe (Build, Sustain, Build and Sustain, or Not Applicable).
2. For each POETE area in which you selected an approach type, use the **Description of Approach** free-text box to describe your approaches. Note: if you selected “Not Applicable,” you are not required to describe your approach.
3. Use the dropdown menu prompting you to **Identify the timeframe in which you will prioritize implementing these approaches** to select the timeframe over which you plan to implement the approached you described in the free-text boxes above.
4. Click the **Save** button at the top of the form to save your progress.

Step 3: Describe Impact of Funding Sources

You will assess the degree to which specific funding sources had a role in building and sustaining the capability assessed by the target. Next, you will qualitatively assess how your community used capabilities built and sustained with funding in a real-world incident over the past year.

Assess the Role of Funding for Building and Sustaining Capabilities

To describe the impact of your funding sources, complete the following steps:

1. Click on the **SPR Step 3: Describe Impact of Funding Sources** banner to expand SPR Step 3 below.
2. Review the **Capability Sustained** (Read Only) table at the top of the **SPR Step 3: Describe Impact of Funding Sources** section.
 - This table shows the numerical values entered for **Capability Sustained** in SPR Step 1 for each impact relevant to the capability target you are assessing.
3. Below the **Capability Sustained** table, review the prompt asking, **“If your jurisdiction has not sustained this capability over the last year using a grant or other funding source, select “N/A” and then skip to the next question.”**
 - If you did sustain capability for **any** of the standardized impacts listed in the read only table, leave the **“N/A”** box unchecked and continue to the **Funding Source** table below.
 - If you did not sustain capability for **all** of the standardized impacts listed in the read only table, select the **“N/A”** checkbox, skip the **Funding Source** table below, and begin the **Capability Built** section of SPR Step 3.
4. In the **Funding Source** table, use the dropdown menus for each of the 20 **Funding Source Types** to select the degree to which they had an impact on capability sustainment.
 - A maximum of two sources can be selected as a **Primary Funding Source**, though



- there is no limit on the number that can be selected as an **Additional Funding Source**.
- If you select “**Other**” as a **Primary Funding Source** or an **Additional Funding Source**, click on the word “**Other**” to replace it with a free-text name for that funding source.
 - You can select the **Add Row** button at the top of the **Funding Source** table to add additional “**Other**” rows.
 - Click the **OK** button after selecting a **Funding Role**.
5. Repeat the process described above for the **Capability Built** section of SPR Step 3.
 6. Click the **Save** button at the top of the form to save your progress.

Assess the Role of Grant Funding in Real-World Incidents

To enter your description of the role played by FEMA grant funding in a real-world incident, complete the following steps:

1. In the free-text box below the **Capability Built Funding** table, provide your response to the prompt, “**Describe how the capabilities built or sustained with FEMA preparedness and mitigation grants were used in a real-world incident over the past year.**”
2. Click the **Save** button at the top of the form to save your progress.

Prior Year Data

To access your prior year data for the SPR Assessment, click on **See Prior Year’s Data** under the **Actions** button near the top of the form. This will open a new tab in your browser that displays a read only version of your prior year SPR data.

Journal Notes

Within each form is a **Journal Notes/Comments** section to capture information that you wish to keep concerning that part of your SPR. For example, you may want to use the Journal Notes to help you keep track of the departments, agencies, or people who helped you complete each part of the assessment. This section is not part of your formal SPR submission, but it can help you maintain a consistent approach from year to year and maintain a log of your efforts.

The **Journal Notes/Comments** section of the SPR Assessment is located at the bottom of the form. Enter your comments into the text box and click the **Save** button to save your comments and your progress in completing this form. The next time you visit the form, your comments will remain within the **Journal Notes/Comments** text box, where they can be edited or deleted.

Completeness Tips

Completeness tips detail the actions that you must complete in order to meet the response requirements for a form, turning the form’s status indicator on the **Navigation Report** from red to green. Note: the completeness tips will only be displayed when you mark a form as complete but have not completed all required sections in the form; you do this by clicking the **Mark Form Complete** option under the **Actions** dropdown menu.



THIRA/SPR Post-Assessment

After completing the SPR, you must complete the THIRA/SPR Post-Assessment. The post-assessment asks for information about your jurisdiction’s assessment process and preparedness trends. Unless a question is designated as optional, you must answer all questions to complete this section. You can access the post-assessment at the bottom of the **Navigation Report**.

Completing the Post-Assessment

The following sections contain instructions on how to answer each question in the post-assessment. Click the **Save** button at the top of the form to save your progress as you answer these questions.

Question 1

Use the table under Question 1 (**Which of the following types of governmental departments and agencies participated in the THIRA/SPR process, and how many departments/agencies of each type participated?**) to enter data on the number of government departments/agencies/offices that participated in the THIRA/SPR process. In this table, the rows provide different departments and agencies (e.g., emergency management/homeland security) and the columns provide levels of government (e.g., Federal, state, territory, etc.). Click on the cell in the row of the agency and column of the relevant level of government and enter the number of participants. If the relevant level of government is not present, enter the number in the **Other** column. Use the scroll bar on the right side of the table to view all listed departments/agencies.

If a department or agency is not listed, select the **Add Row** button at the top of the table to add a new blank row at the bottom of the **Department/Agency** column. Click the blank cell at the bottom of the **Department/Agency** column and enter the agency name in that cell. In the same row, click the cell in the relevant level of government column to enter the value.

If listing government THIRA/SPR process participants is not required or not applicable for your jurisdiction, click the **N/A** checkbox located below the **Government THIRA/SPR Participants** table. Selecting the checkbox will hide the table, indicating that the table is complete.

Question 2

Use the table under Question 2 (**Which of the following non-governmental stakeholders participated in the THIRA/SPR process, and how many organizations of each type participated?**) to enter your data on the number of non- governmental stakeholders that participated in the SPR process. In this table, the rows provide different non-governmental organizations (e.g., the American Red Cross). Click on the relevant cells in the **Number participating** column and enter the number of each type of organization that participated. Use the scroll bar on the right side of the table to view all listed non-governmental organizations.

If a department or agency is not listed, select the **Add Row** button at the top of the table to add a new blank row at the bottom of the **Non-governmental organization** column. Click the blank cell at the bottom of the **Non-governmental organization** column and enter the agency name in that cell. In the same row, click the cell in the relevant level of government column to enter the value.



If listing non-government THIRA/SPR participants is not required or not applicable for your jurisdiction, click the **N/A** checkbox located below the **Non-Government THIRA/SPR Participants** table. Selecting the checkbox will hide the table and indicate that the table is complete.

Questions 3

Optional: Enter text in the free-text box for Question 3, “**(Optional) List the individual departments/agencies, non-governmental organizations, and jurisdictions that participated in the THIRA/SPR process.**”

Questions 4

Select at least one checkbox in Question 4, “**What modeling or visualization tools did you use to inform the THIRA/SPR?**” If you select “**Other (please specify the tool)**”, please specify the tool used in the free-text box below the checkbox.

Question 5

Enter text in each of the three text boxes for Questions 5a, 5b, and 5c.

Question 6

Select three checkboxes for Question 6, “**Over the past year, in which three core capabilities has your jurisdiction made the most progress? (Select three).**” Note: selecting any amount other than **three** core capabilities will result in a completion tip error.

Question 7

Select three checkboxes for Question 7, “**Considering all relevant factors (e.g., funding and training), in which three core capabilities are your community’s capability levels in greatest danger of decreasing? (Select three).**” Note: any amount other than **three** core capabilities will result in a completion tip error.

Question 8

Enter text in the free text box for Question 8, “**Identify any promising practices that you believe could potentially benefit other jurisdictions completing this process.**”

Question 9

Enter a value in the text box for Question 9, “**How many hours did it take your jurisdictions to complete the THIRA (including any whole community collaboration, data gathering, and other preparation work)?**”

Question 10

Enter a value in the text box for Question 10, “**How many hours did it take your jurisdiction to complete the SPR (including any whole community collaboration, data gathering, and other preparation work)?**”

Senior Advisory Committee (SAC) Questions

- Select an option in the dropdown menu for the question labeled, “**Does your Senior Advisory Committee (SAC) have a charter to direct the governance of your State Homeland Security Program (SHSP) or Urban Areas Security Initiative (UASI) program?**”
- Select at least one checkbox for the question labeled, “**Does your SAC charter address the following? (Select all that apply).**”



- Select an option in the dropdown menu for the question labeled, “**Have all members of the SAC signed and dated the charter showing their agreement with its content and their representation on the Committee?**”
- Either search for a **SAC Point of Contact** by using the search icon (magnifying glass) or generate a new point of contact by clicking the **New** button and entering the required information in the **Create Person** window.
- The person’s name should now appear under the SAC Point of Contact.
- Click **Save** at the top of the form.

Prior Year Data

To access your prior year data for the THIRA/SPR Post-Assessment, click on the **See Prior Year’s Data** button under the **Actions** button at the top of the **Navigation Report**. This will open a new tab in your browser that displays a read only version of your prior year THIRA/SPR Post-Assessment data.

Journal Notes

Within each form is a **Journal Notes/Comments** section to capture information that you wish to keep concerning that part of your THIRA/SPR. For example, you may want to use the Journal Notes to help you keep track of the departments, agencies, or people who helped you complete each part of the assessment. This is not part of your formal SPR submission but can help you maintain a consistent approach from year to year and maintain a log of your efforts.

The **Journal Notes/Comments** text box is located below the final question. Enter your notes in the box and click the **Save** button to save both your comments and your progress in completing this form. The next time you visit the form, your comments will remain within the **Journal Notes/Comments** text box, where they can be edited or deleted.

Completeness Tips

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Comprehensive Preparedness Guide-101 Assessment

In the Comprehensive Preparedness Guide-101 (CPG 101) Assessment, enter information about your jurisdiction’s Emergency Operations Plan (EOP). The questions in this assessment track development of your EOP and the degree to which your EOP addresses CPG-101 v2 criteria for effective and efficient plans. You can access this assessment through the navy-blue menu bar.

EOP Name

Enter the name of your jurisdiction’s EOP in the text box below **Emergency Operations Plan (EOP) Name**.

Development and Criteria Questions

The following provides guidance for filling out your CPG 101 Assessment:

- For the **Approval** question, select your answer from the dropdown menu and, if approved, enter the date in the **EOP Approval Date** text box in MM/DD/YYYY format (e.g., 04/25/2019).
- For the **Whole Community** questions, select your answer from the checkboxes and dropdown menus or enter your answer to these questions using the text box provided.
- For the **Compliance Criteria** question, click the checkbox(es) that correspond to the criteria addressed in your EOP base plan.
- For the **EOP Training** question, select your answer from the dropdown menu.
- For the **EOP Evaluation** question, click the checkbox(es) that best represent the evaluation of your EOP effectiveness. You may select both the exercise and real-world event checkboxes.
- For the **EOP Revision** question, select your answer from the dropdown menu.
- For the **Recovery Planning** questions select your answers from the checkboxes and dropdown menus.
- For the **Evacuation Planning** questions, select your answers from the dropdown menus.
- For the **Public Assistance and Mitigation** question, select your answer from the dropdown menus.
- For the **Recovery Cost Provisions** question, select your answer from the dropdown menus.
- For the **Continuity Planning** questions, select your answers from the dropdown menus.

Click the **Save** button at the top of the form to save your progress in completing the CPG-101 Assessment.

Prior Year Data

To access your prior year data for the CPG-101 Assessment click on the **See Prior Year’s Data** under the **Actions** button at the top of the form. This will open a new tab in your browser that displays a read only version of your prior year CPG-101 data.



Journal Notes

Within each form is a **Journal Notes/Comments** section to capture information that you wish to keep concerning your CPG-101 Assessment. For example, you may want to use the Journal Notes to help you keep track of the departments, agencies, or people who helped you complete this assessment. This section is not part of your formal submission, but it can help you maintain a consistent approach from year to year and maintain a log of your efforts.

The **Journal Notes/Comments** text box is located below the final question. Enter your notes in the box and click the **Save** button to save both your comments and your progress in completing this form. The next time you visit the form, your comments will remain within the **Journal Notes/Comments** text box, where they can be edited or deleted.

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Submitting Your CPG-101 Assessment to FEMA

When you have completed the assessment, use the **Submit CPG 101 to FEMA** button at the bottom of the form to submit your assessment to FEMA. You will only be able to submit after you have completed all required steps. Upon clicking the **Submit CPG 101 to FEMA** button, a warning message will appear confirming that you are ready to submit your assessment. To submit the assessment, click **Submit**. To return to your CPG 101 Assessment without submitting, click **Cancel**.



NIMS Implementation Assessment

In the National Incident Management System (NIMS) Implementation Assessment, evaluate and report on your jurisdiction's implementation of NIMS. You can access this assessment through the navy-blue **menu bar**.

Questions

The following provides guidance for filling out your NIMS Assessment:

- For **Question 1**, enter the **Point of Contact** by selecting the **New** box and creating a new person.
- For **Question 2**, select your answer from the dropdown menu.
- For **Question 3**, select your answer from the dropdown menu.
- For **Question 4**, enter your answer in the provided free-text field.
- For **Question 5a and 5b**, enter your answers in the provided free-text fields.
- For **Question 6**, select your answer from the dropdown menu.
- For **Question 7**, select your answers from the provided checkboxes.
- For **Question 8**, select your answers from the three provided dropdown menus. If you want to indicate an "Other" response, enter the qualification system name in the provided free-text field.
- For **Question 9a and 9b**, select your answers in the 10 provided dropdown menus.
- For **Question 10a**, select your answers from the provided checkboxes. For **Question 10b**, select your answers from the provided dropdown menus. If you want to indicate an "Other" response, enter an action description in the provided free-text field and select an answer from the associated dropdown menu.
 - Click the **OK** button after you have entered your responses in the 10b table.
- For **Question 11**, enter your answer in the provided free-text field.
- For **Questions 12a and 12b**, select your answers from the dropdown menus. If you want to indicate an "Other" response, enter the EOC structure description in the provided free-text field and select an answer in the associated dropdown menu.
 - Click the **OK** button after you have entered your responses in the 12b table.
- For **Question 13**, select your answers in the 11 provided dropdown menus.
- For **Question 14**, enter your answer in the provided free-text field.

Click the **Save** button at the top of the form to save your progress in completing the NIMS Implementation Assessment.

Prior Year Data

To access your prior year data for the NIMS Implementation Assessment on the **See Prior Year's Data** button near the top of the form under the **Actions** button. This will open a new tab in your browser that displays a read only version of your prior year data.

Journal Notes

Within each form is a **Journal Notes/Comments** section to capture information that you wish to keep concerning your NIMS Implementation Assessment. For example, you may want to use



the Journal Notes to help you keep track of the departments, agencies, or people who helped you complete this assessment. This section is not part of your formal submission, but it can help you maintain a consistent approach from year to year and maintain a log of your efforts.

The **Journal Notes/Comments** text box is located below the final question. Enter your notes in the box and click the **Save** button to save both your comments and your progress in completing this form. The next time you visit the form, your comments will remain within the **Journal Notes/Comments** text box, where they can be edited or deleted.

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Submitting Your NIMS Assessment to FEMA

When you have completed the assessment, use the **Submit NIMS to FEMA** selection under the **Actions** button at the top of the form to submit your assessment to FEMA. You will only be able to submit after you have completed all required steps. Upon clicking the **Submit NIMS to FEMA** button, a warning message will appear confirming that you are ready to submit your assessment. To submit the assessment, click **Submit**. To return to your NIMS Assessment without submitting, click **Cancel**.



Urban Area Working Group Assessment

In the Urban Area Working Group (UAWG) Assessment report on required elements of a UAWG. You can access this assessment through the navy-blue **menu bar**.

Questions

The following provides guidance for filling out your UAWG Assessment.

- For the **Composition** questions, select your answers using the dropdown menus and checkboxes.
- For the **Charter** questions, select your answer using the dropdown menus and checkboxes.
- For the **UAWG Point of Contact** question, enter select the **New** button and enter the Point of Contact information in the pop-up window and selecting **OK** when you are done.

Click the **Save** button at the top of the form to save your progress in completing the UAWG Assessment.

Prior Year Data

To access your prior year's data for the UAWG Assessment, select **See Prior Year's Data** under the **Actions** button at the top of the form. This will open a new tab in your browser that displays a read only version of your prior year UAWG data.

Journal Notes

Within each form is a **Journal Notes/Comments** section to capture information that you wish to keep concerning your UAWG Assessment. For example, you may want to use the Journal Notes to help you keep track of the departments, agencies, or people who helped you complete this assessment. This section is not part of your formal submission, but it can help you maintain a consistent approach from year to year and maintain a log of your efforts.

The **Journal Notes/Comments** text box is located below the final question. Enter your notes in the box and click the **Save** button to save both your comments and your progress in completing this form. The next time you visit the form, your comments will remain within the **Journal Notes/Comments** text box, where they can be edited or deleted.

Completeness Tips

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Submitting Your UAWG Assessment to FEMA

When you have completed the assessment, use the **Submit UAWG to FEMA** button at the top of the form under the **Actions** button to submit your assessment to FEMA. You will only be able to submit after you have completed all required steps. Upon clicking the **Submit UAWG to FEMA** button, a warning message will appear confirming that you are ready to submit your assessment. To submit the assessment, click **Submit**. To return to your UAWG Assessment without submitting, click **Cancel**.